9230.1-PL

Supersedes FEMA 229
(April 1992)

FEDERAL RESPONSE PLAN

APRIL 1999

FRP . . . *at a glance*

What is it?

Signed agreement among 27 Federal departments and agencies, including the American Red Cross, that:

- ✓ Provides the mechanism for coordinating delivery of Federal assistance and resources to augment efforts of State and local governments overwhelmed by a major disaster or emergency
- ✓ Supports implementation of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (42 U.S.C. 5121, *et seq.*), as well as individual agency statutory authorities
- ✓ Supplements other Federal emergency operations plans developed to address specific hazards

When is it implemented?

- ✓ In anticipation of a significant event likely to result in a need for Federal assistance
- ✓ In response to an actual event requiring Federal assistance under a Presidential declaration of a major disaster or emergency

What Federal resources can be deployed?

- ✓ Specialized teams for damage assessment, emergency communications, medical assistance and support, urban search and rescue, emergency power restoration, community relations
- ✓ Equipment and supplies such as mobile kitchens, water purification units, portable toilets and showers, tents
- ✓ Facilities including a Disaster Field Office, mobilization center, Disaster Recovery Centers

What types of Federal assistance are available?

To deliver immediate relief:

- ✓ Initial response resources, including food, water, emergency generators
- ✓ Emergency services to clear debris, open critical transportation routes, provide mass sheltering and feeding

To speed return to normal and reduce damage from future occurrences:

- ✓ Loans and grants to repair or replace damaged housing and personal property
- ✓ Grants to repair or replace roads and public buildings, incorporating to the extent practical hazard-reduction structural and nonstructural measures
- ✓ Technical assistance to identify and implement mitigation opportunities to reduce future losses
- ✓ Other assistance, including crisis counseling, tax relief, legal services, job placement

Record of Changes

Change No.	Date	Subject	Page No(s).

This page intentionally left blank.

Foreword

The Federal Response Plan (FRP) outlines how the Federal Government implements the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended, to assist State and local governments when a major disaster or emergency overwhelms their ability to respond effectively to save lives; protect public health, safety, and property; and restore their communities. The FRP describes the policies, planning assumptions, concept of operations, response and recovery actions, and responsibilities of 27 Federal departments and agencies, including the American Red Cross, that guide Federal operations following Presidential declaration of a major disaster or emergency.

The FRP has proved to be an effective framework for coordinating delivery of Federal disaster assistance to State and local governments. Since it was issued in 1992, Federal agencies have demonstrated that they can work together to achieve the common goal of efficient, timely, and consistent disaster response and recovery.

This second edition of the FRP incorporates the 11 changes published to the plan since 1992, ensures consistency with current policy guidance, integrates recovery and mitigation functions into the response structure, and describes relationships to other emergency operations plans. It includes four new support annexes (Community Relations, Donations Management, Logistics Management, and Occupational Safety and Health) and two new appendices (FRP Changes and Revision, and Overview of a Disaster Operation).

The FRP will continue to evolve, reflecting lessons learned from actual experience in disasters and ongoing Federal agency planning, training, and exercise activities. I am confident that it will serve as a basis for improving coordination and strengthening relationships among all emergency management partners — Federal departments and agencies, State and local governments, voluntary disaster relief organizations, and the private sector — as we work together to meet basic human needs and restore essential government services after a disaster. This enhanced partnership, combined with the establishment of disaster-resistant communities, should reduce human suffering and decrease costly damages to property.

James L. Witt
Director
Federal Emergency Management Agency

This page intentionally left blank.

Table of Contents

Record of Changes i
Foreword iii
Table of Contents v
Letter of Agreement vii
Signatories to the Federal Response Plan ix

Basic Plan

I. Introduction 1
   A. Purpose 1
   B. Scope 1
   C. National Disaster Response Framework 2
   D. Organization of the FRP 4

II. Policies 7
   A. Authorities 7
   B. Resource Coordination and Management 8
   C. Outreach/Information Dissemination 10

III. Planning Assumptions 10

IV. Concept of Operations 11
   A. General 11
   B. Concurrent Implementation of Other Federal Emergency Plans 11
   C. Integration of Response, Recovery, and Mitigation Actions 12
   D. Organizational Relationships 12
   E. Emergency Teams and Facilities 17

V. Response and Recovery Actions 24
   A. Initial Actions 24
   B. Continuing Actions 26

VI. Responsibilities 28
   A. ESF Primary Agencies 28
   B. ESF Support Agencies 28
   C. Recovery Agencies 28
   D. Other Federal Agencies 29
   E. Planning 29

Emergency Support Function Annexes

ESF #1 — Transportation ..... #1 - 1
ESF #2 — Communications ..... #2 - 1
ESF #3 — Public Works and Engineering ..... #3 - 1
ESF #4 — Firefighting ..... #4 - 1
ESF #5 — Information and Planning ..... #5 - 1
ESF #6 — Mass Care ..... #6 - 1
ESF #7 — Resource Support ..... #7 - 1
ESF #8 — Health and Medical Services ..... #8 - 1
ESF #9 — Urban Search and Rescue ..... #9 - 1
ESF #10 — Hazardous Materials ..... #10 - 1
ESF #11 — Food ..... #11 - 1
ESF #12 — Energy ..... #12 - 1

Recovery Function Annex ..... RF - 1

Support Annexes

Community Relations ..... CR - 1
Congressional Affairs ..... CA - 1
Donations Management ..... DM - 1
Financial Management ..... FM - 1
Logistics Management ..... LM - 1
Occupational Safety and Health ..... SH - 1
Public Affairs ..... PA - 1

Incident Annexes

Terrorism ..... TI - 1

Appendices

Appendix A — Terms and Definitions ..... A - 1
Appendix B — Acronyms and Abbreviations ..... B - 1
Appendix C — FRP Changes and Revision ..... C - 1
Appendix D — Overview of a Disaster Operation ..... D - 1

List of Figures

Figure 1 — National Disaster Response Framework 3
Figure 2 — Emergency Planning Relationships 5
Figure 3 — Organization of the Federal Response Plan 6
Figure 4 — Emergency Support Function Designation Matrix 14
Figure 5 — Regional Operations Center Organization 18
Figure 6 — Emergency Response Team Organization 20
Figure 7 — ERT Operations Section Organization 21
Figure 8 — Emergency Support Team Organization 23

Letter of Agreement

The Federal Response Plan (FRP) describes the mechanism and structure by which the Federal Government mobilizes resources and conducts activities to address the consequences of any major disaster or emergency that overwhelms the capabilities of State and local governments. Federal assistance is available under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as well as individual agency authorities, to save lives; protect public health, safety, and property; alleviate damage and hardship; and reduce future vulnerability.

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

- Support the FRP concept of operations and carry out their assigned functional responsibilities to ensure the orderly, timely delivery of Federal assistance
- Cooperate with the Federal Coordinating Officer appointed by the President to provide effective oversight of disaster operations
- Make maximum use of existing authorities, organizations, resources, systems, and programs to reduce disaster relief costs
- Form partnerships with counterpart State agencies, voluntary disaster relief organizations, and the private sector to take advantage of all existing resources
- Continue to develop and refine headquarters and regional planning, exercise, and training activities to maintain necessary operational capabilities

Signatory departments and agencies follow.

This page intentionally left blank.

Signatories to the Federal Response Plan

Sally Thompson
Acting Assistant Secretary
Administration
Department of Agriculture

William M. Daley
Secretary
Department of Commerce

Louis Caldera
Secretary of the Army
Department of Defense

Richard W. Riley
Secretary
Department of Education

Rose Gottemoeller
Director, Office of Nonproliferation
and National Security
Department of Energy

Donna E. Shalala
Secretary
Department of Health
and Human Services

Andrew M. Cuomo
Secretary
Department of Housing
and Urban Development

John Berry
Assistant Secretary
Policy, Management, and Budget
Department of the Interior

Stephen R. Colgate
Assistant Attorney General
Administration
Department of Justice

for Patricia W. Lattimore
Assistant Secretary
Administration and Management
Department of Labor

Patrick F. Kennedy
Assistant Secretary
Bureau of Administration
Department of State

Rodney E. Slater
Secretary
Department of Transportation

Nancy Killefer
Assistant Secretary
Management
Department of the Treasury

Eugene A. Brickhouse
Assistant Secretary
Human Resources and Administration
Department of Veterans Affairs

Hugh Q. Parmer
Assistant Administrator
Agency for International Development

Steve D. Bullock
President
American Red Cross

Timothy Fields, Jr.
Acting Assistant Administrator
Environmental Protection Agency

William E. Kennard
Chairman
Federal Communications Commission

James L. Witt
Director
Federal Emergency Management Agency

Thurman M. Davis, Sr.
Deputy Administrator
General Services Administration

Daniel S. Goldin
Administrator
National Aeronautics and Space Administration

David J. Kelley, LTG, USA
Manager
National Communications System

Shirley Ann Jackson
Chairman
Nuclear Regulatory Commission

Janice R. Lachance
Director
Office of Personnel Management

Bernard Kulik
Associate Administrator
Disaster Assistance
Small Business Administration

Craven Crowell
Chairman
Board of Directors
Tennessee Valley Authority

William J. Henderson
Postmaster General
U.S. Postal Service

This page intentionally left blank.

Federal Response Plan

Basic Plan

I. Introduction

A. Purpose

The Federal Response Plan (FRP) establishes a process and structure for the systematic, coordinated, and effective delivery of Federal assistance to address the consequences of any major disaster or emergency declared under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (42 U.S.C. 5121, *et seq*.). The FRP:

1. Sets forth fundamental policies, planning assumptions, a concept of operations, response and recovery actions, and Federal agency responsibilities;
2. Describes the array of Federal response, recovery, and mitigation resources available to augment State and local efforts to save lives; protect public health, safety, and property; and aid affected individuals and communities in rebuilding after a disaster;
3. Organizes the types of Federal response assistance that a State is most likely to need under 12 Emergency Support Functions (ESFs), each of which has a designated primary agency;
4. Describes the process and methodology for implementing and managing Federal recovery and mitigation programs and support/technical services;
5. Addresses linkages to other Federal emergency operations plans developed for specific incidents;
6. Provides a focus for interagency and intergovernmental emergency preparedness, planning, training, exercising, coordination, and information exchange; and
7. Serves as the foundation for the development of detailed supplemental plans and procedures to implement Federal response and recovery activities rapidly and efficiently.

B. Scope

1. The FRP concepts apply to a major disaster or emergency as defined under the Stafford Act, which includes a natural catastrophe; fire, flood, or explosion regardless of cause; or any other occasion or instance for which the President determines that Federal assistance is needed to supplement State and local efforts and capabilities. Throughout the FRP, any reference to a disaster, major disaster, or emergency generally means a presidentially declared major disaster or emergency under the Stafford Act.

2. The FRP covers the full range of complex and constantly changing requirements following a disaster: saving lives, protecting property, and meeting basic human needs (response); restoring the disaster-affected area (recovery); and reducing vulnerability to future disasters (mitigation). The FRP does not specifically address long-term reconstruction and redevelopment.

3. The FRP applies to all signatory Federal departments and independent agencies that may be tasked to provide assistance in a major disaster or emergency. Additionally, the American Red Cross functions as a Federal agency in coordinating the use of Federal mass care resources in a presidentially declared disaster or emergency. For purposes of the FRP, any reference to Federal agencies with respect to their responsibilities and activities in responding to a disaster generally means Federal departments and agencies, as well as the American Red Cross.

4. Under the FRP, a State means any State of the United States, the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. Two former trust territories (but now independent countries) also are deemed eligible for assistance under the Compact of Free Association — the Republic of the Marshall Islands (until October 21, 2001) and the Federated States of Micronesia (until November 3, 2001).

5. Relationships with any federally recognized American Indian or Alaska Native Tribe are on a government-to-government basis. Federal agencies acknowledge the importance of an interagency/intergovernmental/tribal partnership to improve access to disaster assistance. Although a State Governor must request a Presidential disaster declaration on behalf of a tribe under the Stafford Act, Federal agencies subsequently can work directly with the tribe, within existing authorities and resources, to tailor disaster programs to its unique needs.

C. National Disaster Response Framework

1. The combined emergency management authorities, policies, procedures, and resources of local, State, and Federal governments as well as voluntary disaster relief organizations, the private sector, and international sources constitute a national disaster response framework for providing assistance following a major disaster or emergency. This framework is illustrated in Figure 1.

2. Within this framework, the Federal Government can provide personnel, equipment, supplies, facilities, and managerial, technical, and advisory services in support of State and local disaster assistance efforts. Various Federal statutory authorities and policies establish the bases for providing these resources. (The Federal Emergency Management Agency (FEMA) has compiled a separate compendium of Legal Authorities Supporting the Federal Response Plan that lists emergency response and recovery-related directives, together with a summary interpretation of each legal citation.)

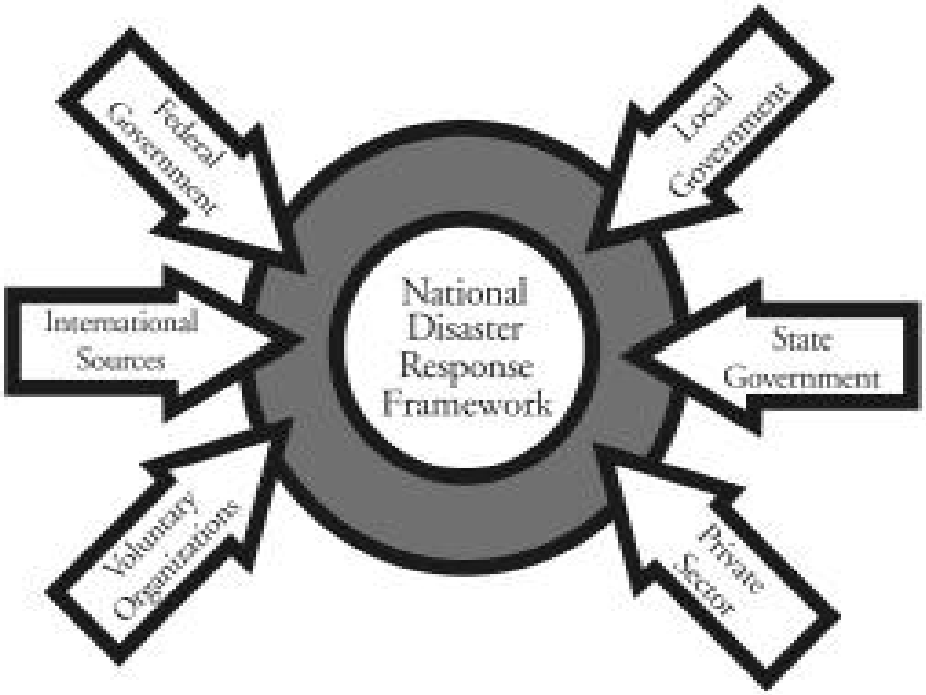


Figure 1 — National Disaster Response Framework

3. Under the Stafford Act and Executive Orders 12148, Federal Emergency Management, and 12656, Assignment of Emergency Preparedness Responsibilities, FEMA has been delegated primary responsibility for coordinating Federal emergency preparedness, planning, management, and disaster assistance functions. FEMA also has been delegated responsibility for establishing Federal disaster assistance policy. In this stewardship role, FEMA has the lead in developing and maintaining the FRP.

4. The FRP describes the structure for organizing, coordinating, and mobilizing Federal resources to augment State and local response efforts under the Stafford Act and its implementing regulations that appear in 44 CFR 206. The FRP also may be used in conjunction with Federal agency emergency operations plans developed under other statutory authorities as well as memorandums of understanding (MOUs) among various Federal agencies.

5. In particular, the FRP may be implemented concurrently with the:

   a. National Plan for Telecommunications Support in Non-Wartime Emergencies, which provides a basis for ESF #2 — Communications operations;

   b. National Oil and Hazardous Substances Pollution Contingency Plan, known as the National Contingency Plan (NCP), which provides the basis for ESF #10 — Hazardous Materials operations; and/or

   c. Federal Radiological Emergency Response Plan (FRERP), which details the Federal response to a peacetime radiological emergency.

6. The FRP also may be implemented in response to the consequences of terrorism, in accordance with Presidential Decision Directive 39 (PDD-39) and PDD-62 that set forth U.S. counterterrorism policy. The FRP Terrorism Incident Annex describes the concept of operations for a unified response to a terrorism incident involving two or more of the following plans: the FRP, the Federal Bureau of Investigation (FBI) Weapons of Mass Destruction (WMD) Incident Contingency Plan, the Department of Health and Human Services (HHS) Health and Medical Services Support Plan for the Federal Response to Acts of Chemical/Biological Terrorism, the NCP, and the FRERP.
7. The FRP is implemented through regional supplements developed by FEMA and other Federal agency regional offices describing specific actions, operating locations, and relationships to address the unique needs of the region and States within the region. From time to time, an operations supplement to the FRP may be issued to address special events that merit advanced planning, such as the Olympics or Presidential inaugurations.
8. The FRP is further implemented through various operations manuals, field operations guides, and job aids that detail specific agency actions to be taken.
9. States, along with their local jurisdictions, have their own emergency operations plans describing who will do what, when, and with what resources. In addition, many voluntary, private, and international organizations have emergency or contingency plans. These planning relationships are shown in Figure 2.
10. While the FRP focuses primarily on operational planning specific to an incident, other types of planning also are critical to ensuring effective disaster operations. Pre-incident planning at all levels of government is used to identify operating facilities and resources that might be needed in response and recovery. Action planning, conducted throughout a disaster, establishes priorities with tactical objectives for the next operational period. Contingency planning assists in targeting a specific issue or event arising during the course of a disaster and presents alternative actions to respond to the situation. Strategic planning is used to identify long-term issues such as impact of forecasts and problems such as permanent housing for displaced disaster victims. It also can serve as a blueprint for rebuilding after a disaster.

D. Organization of the FRP

The FRP consists of the following sections as shown in Figure 3:

1. The Basic Plan presents the policies and concept of operations that guide how the Federal Government will assist disaster-stricken State and local governments. It also summarizes Federal planning assumptions, response and recovery actions, and responsibilities.
2. Emergency Support Function Annexes describe the mission, policies, concept of operations, and responsibilities of the primary and support agencies involved in the implementation of key response functions that supplement State and local activities.

ESFs include Transportation, Communications, Public Works and Engineering, Firefighting, Information and Planning, Mass Care, Resource Support, Health and Medical Services, Urban Search and Rescue, Hazardous Materials, Food, and Energy.

3. The **Recovery Function Annex** describes the policies, planning considerations, and concept of operations that guide the provision of assistance to help disaster victims and affected communities return to normal and minimize the risk of future damage. Assistance is categorized by delivery system — either to individuals, families, and businesses or to State and local governments. (Note: A separate annex describing mitigation as a concept and a program is being developed.)

4. **Support Annexes** describe the mission, policies, and concept of operations of related activities required to conduct overall Federal disaster operations, including Community Relations, Congressional Affairs, Donations Management, Financial Management, Logistics Management, Occupational Safety and Health, and Public Affairs.

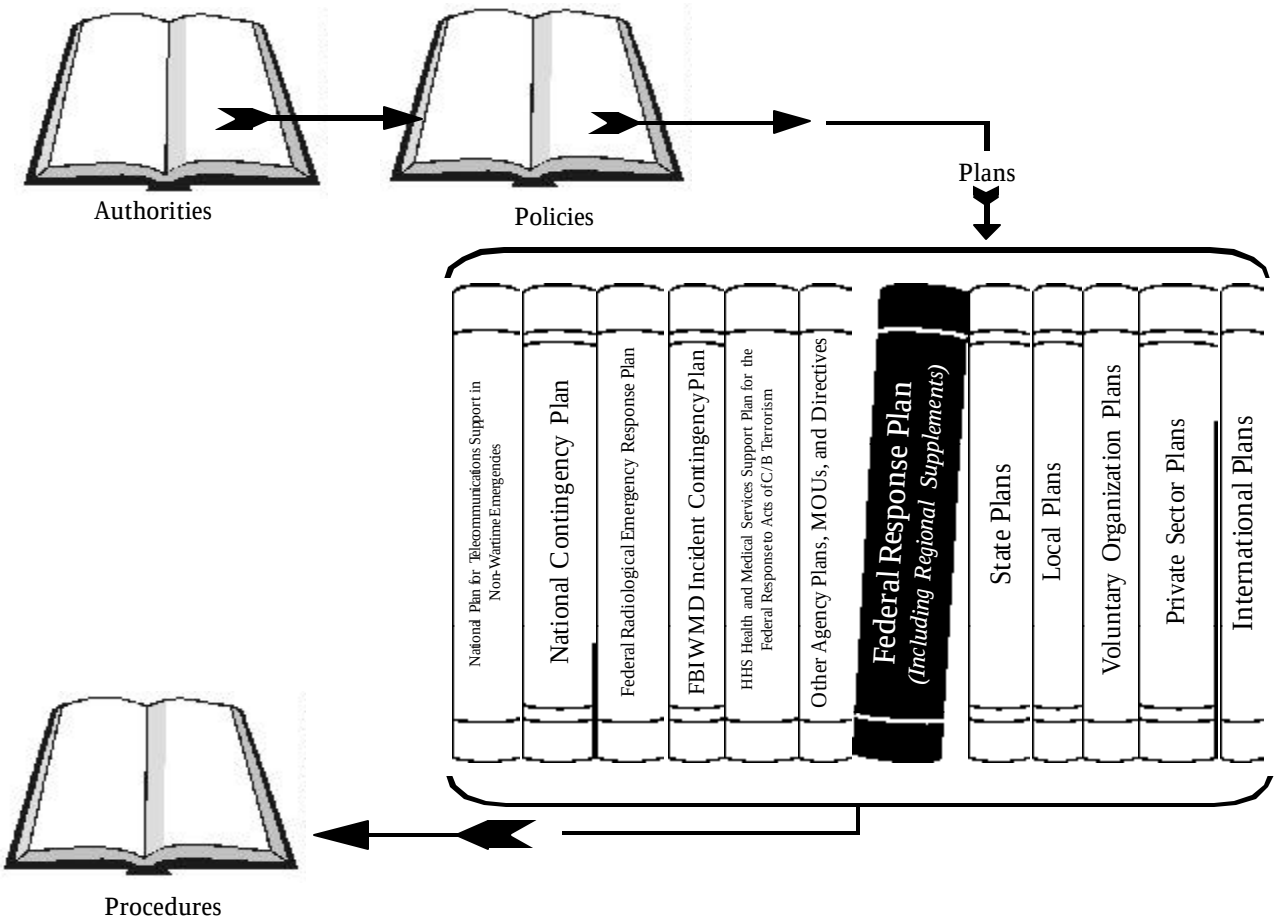


Figure 2 — Emergency Planning Relationships

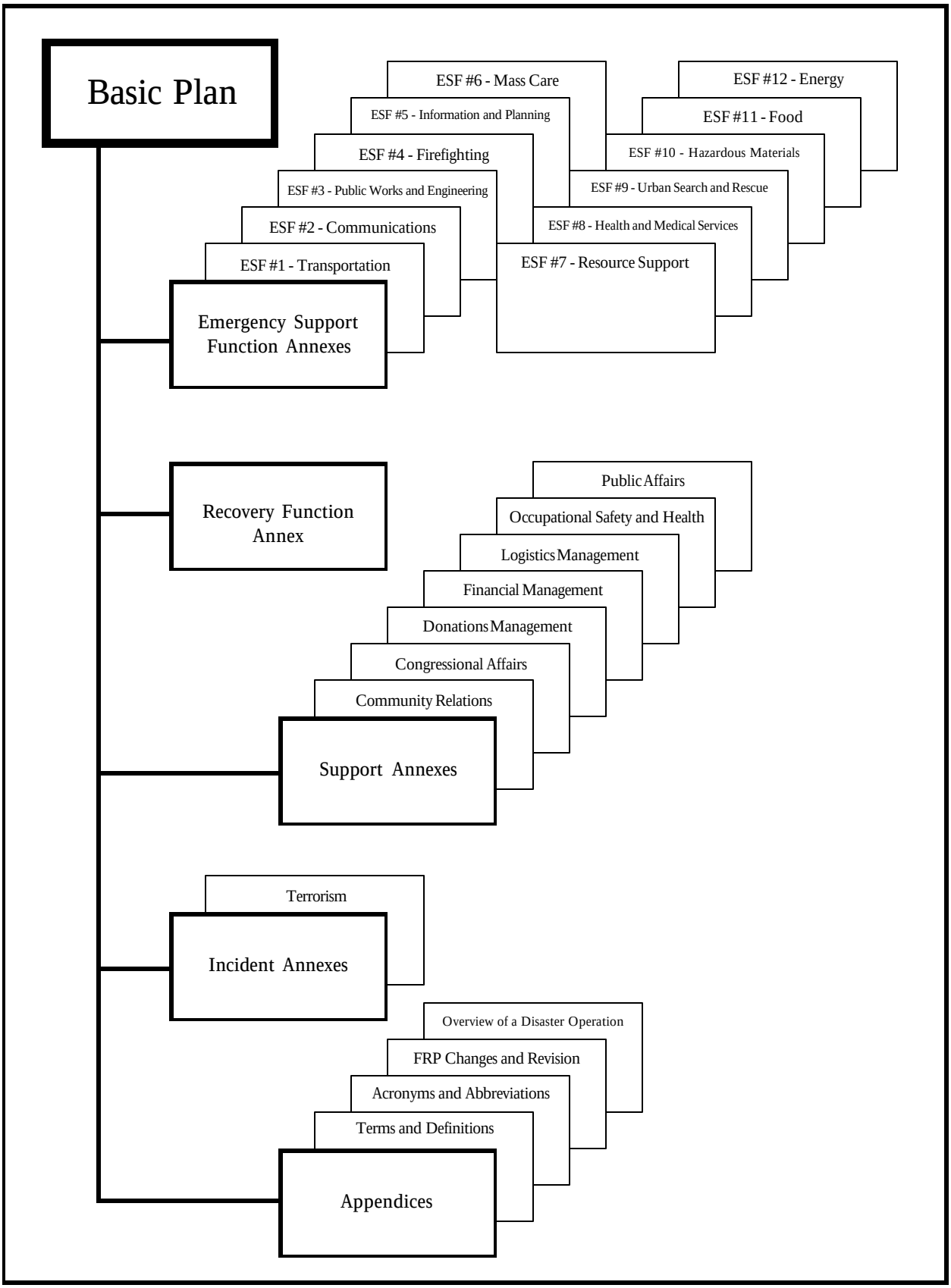


Figure 3 — Organization of the Federal Response Plan

5. **Incident Annexes** describe the mission, policies, concept of operations, and responsibilities in those specific events that require a unified response under the FRP and one or more other Federal plans that implement authorities and functions outside the scope of the Stafford Act. The Terrorism Incident Annex is the first in a series of anticipated incident annexes.

6. **Appendices** cover other relevant information, including terms and definitions, acronyms and abbreviations, guidelines for FRP changes and revision, and overview of a disaster operation.

II. Policies

A. Authorities

1. Under the Stafford Act, a Governor may request the President to declare a major disaster or an emergency if an event is beyond the combined response capabilities of the State and affected local governments. Based upon the findings of a joint Federal-State-local Preliminary Damage Assessment (PDA) indicating the damages are of sufficient severity and magnitude to warrant assistance under the Act, the President may grant a major disaster or emergency declaration. (Note: In a particularly fast-moving or clearly devastating disaster, the PDA process may be deferred until after the declaration.)

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

3. No direct Federal assistance is authorized prior to a Presidential declaration. However, FEMA can use limited pre-declaration authorities to move Initial Response Resources (critical goods typically needed in the immediate aftermath of a disaster, e.g., food, water, emergency generators) and emergency teams closer to potentially affected areas. FEMA also can activate essential command and control structures to lessen or avert the effects of a disaster and to improve the timeliness of disaster operations. Additionally, when an incident poses a threat to life and property that cannot be effectively dealt with by the State or local governments, FEMA may request the Department of Defense (DOD) to utilize its resources prior to a declaration to perform any emergency work "essential for the preservation of life and property" under the Stafford Act.

4. Following a declaration, the President may direct any Federal agency to use its authorities and resources in support of State and local assistance efforts to the extent that provision of the support does not conflict with other agency emergency missions. This authority has been further delegated to the FEMA Director; the FEMA Associate Director, Response and Recovery; the FEMA Regional Director; and the Federal Coordinating Officer (FCO).

5. The FEMA Director, on behalf of the President, appoints an FCO, who is responsible for coordinating the timely delivery of Federal disaster assistance to the affected State, local governments, and disaster victims. In many cases, the FCO also serves as the Disaster Recovery Manager (DRM) to administer the financial aspects of assistance authorized under the Stafford Act. The FCO works closely with the State Coordinating Officer (SCO), appointed by the Governor to oversee disaster operations for the State, and the Governor's Authorized Representative (GAR), empowered by the Governor to execute all necessary documents for disaster assistance on behalf of the State.

6. The State must commit to pay a share of the cost to receive certain types of Federal assistance under the Stafford Act. In extraordinary cases, the President may choose to adjust the cost share or waive it for a specified time period. The Presidential declaration notes any cost-share waiver, and a FEMA-State Agreement is signed further stipulating the division of costs among Federal, State, and local governments and other conditions for receiving assistance.

7. While performing a function under the authority of the Stafford Act, a Federal agency or designated employee of a Federal agency is not liable for any claim based upon the exercise or performance of or the failure to exercise or perform that function.

8. In addition to a Presidential disaster declaration, several Federal agencies have independent authorities to declare disasters. For example, the Secretary of Agriculture may declare a disaster in certain situations in which a county has sustained production losses of 30 percent or greater in a single major enterprise, authorizing emergency loans for physical damages and crop losses. The Secretary of Commerce may make a determination of a commercial fishery failure or fishery resource disaster. The Administrator of the Small Business Administration may make a disaster declaration based on physical damage to buildings, machinery, equipment, inventory, homes, and other property as well as economic injury.

9. Response by agencies to lifesaving and life-protecting requirements under the FRP has precedence over other Federal response activities, except where national security implications are determined to be of a higher priority. If a disaster or emergency affects the national security of the United States, appropriate national security authorities, plans, and procedures will be used.

B. Resource Coordination and Management

1. To the maximum extent possible, internal local and State resources should be used as the first line of support in response to a disaster. Intra- and interstate mutual aid can provide an additional option for timely and cost-effective resource support that can be executed prior to a Presidential disaster declaration. Mutual aid can be particularly useful in a disaster that depletes the resources of an individual community or State, but does not require a Presidential declaration.

2. Once State resources and capabilities are exhausted, Federal assistance may be provided to support State operational requirements and priorities.
3. When appropriate, Federal agencies should use their own authorities and funds to provide assistance for alleviating damage, loss, hardship, and suffering.
4. Federal assistance takes many forms — including the direct provision of goods and services, financial assistance (through insurance, grants, loans, direct payments), and technical assistance — and can come from various sources.
    a. Initial sources include internal government supplies (available surplus and excess property, agency stock previously acquired from the Disaster Relief Fund or on hand). Agencies also may acquire needed goods and supplies outside the Federal Government from the private sector and possibly nonaffected State and local governments.
    b. Resources are acquired using a standard government procurement vehicle such as a purchase order, blanket purchase agreement, contract, or cooperative agreement. Additionally, FEMA may use a mission assignment, which is a work order issued to another Federal agency directing completion of a specific task or provision of a service in anticipation of, or in response to, a Presidential declaration of a major disaster or emergency. (See the Financial Management Support Annex for additional information.)
    c. An appropriate level of management oversight, protection, and accountability must be assured — from acquisition through final disposition — for all federally provided property brought to, used at, loaned by, or acquired at a disaster site. (See the Logistics Management Support Annex for additional information.)
5. Federal agencies may coordinate with voluntary organizations that provide a wide variety of disaster relief goods and services. Donations often play an important role in supplying disaster victims with essential needs. (See the Donations Management Support Annex for additional information.)
6. Additionally, Federal agencies are encouraged to take advantage of current partnership relations with the private sector. Businesses, both inside and outside the disaster-affected area, can supply critical resources during response operations, and assist in restoring essential services and rebuilding the economic base during recovery operations. (As potential disaster victims, private-sector businesses also are urged to identify their risks, develop appropriate contingency plans, and take corrective actions prior to a disaster.)
7. Many foreign governments and individuals will respond with offers of assistance. Handling these offers could involve FEMA, the Department of State, the Department of the Treasury/U.S. Customs Service, and the Department of Justice/Immigration and Naturalization Service. State and local governments, however, are ultimately in charge of donations, in coordination with national, State, and local voluntary organizations.

8. In an event requiring massive resources, conflicting priorities requiring the same resources should be resolved in the field by the Emergency Response Team (ERT) Operations Section Chief or FCO. Unresolved resource conflicts and unmet State needs will be referred to FEMA Headquarters to the Emergency Support Team (EST) and/or the Catastrophic Disaster Response Group (CDRG), if necessary, for final resolution.

9. The Stafford Act requires that Federal agencies avoid duplicating resources and benefits whenever possible, i.e., agencies should not provide to a disaster victim the same or similar assistance that another agency is providing. Disaster victims are responsible for repayment of Federal assistance duplicated by private insurance or other Federal programs. (See the Recovery Function Annex for additional information on duplication of benefits.)

C. Outreach/Information Dissemination

1. Community relations activities will be undertaken to provide information on Federal assistance programs to affected individuals, groups, organizations, and local governments. In addition, critical feedback from those affected will be provided for the FCO and staff. (See the Community Relations Support Annex for additional information.)

2. Congressional liaison will be established to provide information to the Washington, DC, and district offices of Members of Congress and to respond to questions, concerns, and problems raised by their constituents. (See the Congressional Affairs Support Annex for additional information.)

3. Public information will be an integral activity in disaster operations to ensure the coordinated and timely release of essential information to the public and news media about disaster-related activities. (See the Public Affairs Support Annex for additional information.)

III. Planning Assumptions

A. A major disaster or emergency will cause numerous fatalities and injuries, property loss, and disruption of normal life-support systems, and will have an impact on the regional economic, physical, and social infrastructures.

B. The extent of casualties and damage will reflect factors such as the time of occurrence, severity of impact, weather conditions, population density, building construction, and the possible triggering of secondary events such as fires and floods.

C. The large number of casualties, heavy damage to buildings and basic infrastructure, and disruption of essential public services will overwhelm the capabilities of the State and its local governments to meet the needs of the situation, and the President will declare a major disaster or emergency.

D. Federal agencies will need to respond on short notice to provide timely and effective assistance.

E. The degree of Federal involvement will be related to the severity and magnitude of the event as well as the State and local need for external support. The most devastating disasters may require the full range of Federal response and recovery assistance. Less damaging disasters may require only partial Federal response and recovery assistance. Some disasters may require only Federal recovery assistance.

IV. Concept of Operations

A. General

1. Most disasters and emergencies are handled by local and State responders. The Federal Government is called upon to provide supplemental assistance when the consequences of a disaster exceed local and State capabilities. If needed, the Federal Government can mobilize an array of resources to support State and local efforts. Various emergency teams, support personnel, specialized equipment, operating facilities, assistance programs, and access to private-sector resources constitute the overall Federal disaster operations system. The FRP describes the major components of the system, as well as the structure for coordinating Federal response and recovery actions necessary to address State-identified requirements and priorities.

2. The FRP employs a multiagency operational structure that uses the principles of the Incident Command System (ICS), based on a model adopted by the fire and rescue community. ICS can be used in any size or type of disaster to control response personnel, facilities, and equipment. ICS principles include use of common terminology, modular organization, integrated communications, unified command structure, action planning, manageable span-of-control, pre-designated facilities, and comprehensive resource management. The basic functional modules of ICS (e.g., operations, logistics) can be expanded or contracted to meet requirements as an event progresses.

   Consistent with ICS principles, the FRP can be partially or fully implemented, in anticipation of a significant event or in response to an actual event. Selective implementation through the activation of one or more of the system's components allows maximum flexibility in meeting the unique operational requirements of the situation and interacting with differing State systems and capabilities.

B. Concurrent Implementation of Other Federal Emergency Plans

1. An incident involving hazardous substances, weapons of mass destruction, or other lethal agents or materials may require a response under another Federal emergency operations plan (National Contingency Plan, Federal Radiological Emergency Response Plan, etc.). These plans delineate measures necessary to handle or contain released materials and keep the public properly informed and protected.

2. Several of these plans designate a Lead Federal Agency (LFA) to coordinate the Federal response. The LFA is determined by the type of emergency. In general, an LFA establishes operational structures and procedures to assemble and work with agencies providing direct support to the LFA in order to obtain an initial assessment of the situation, develop an action plan, and monitor and update operational priorities.

The LFA ensures that each agency exercises its concurrent and distinct authorities and supports the LFA in carrying out relevant policy. Specific responsibilities of an LFA vary according to the agency's unique statutory authorities.

3. If the incident also involves concurrent implementation of the FRP, the LFA and FEMA coordinate to the maximum extent practical to ensure effective, unified Federal actions, consistent with their distinct authorities and responsibilities. Direct FEMA support to an LFA is limited to FEMA's own authorities, resources, and expertise as an individual agency.

4. In a response to an emergency involving a radiological hazard, the LFA under the FRERP is responsible for Federal oversight of activities on site and Federal assistance to conduct radiological monitoring and assessment and develop protective action recommendations. When a radiological emergency warrants action under the Stafford Act, FEMA uses the FRP to coordinate the nonradiological response to consequences off site in support of the affected State and local governments. If the FRERP and FRP are implemented concurrently, the Federal On-Scene Commander under the FRERP coordinates the FRERP response with the FCO, who is responsible for coordination of all Federal support to State and local governments. (Operational interfaces between the FRP and other Federal emergency plans are covered in more detail in the pertinent ESF and incident annexes.)

C. Integration of Response, Recovery, and Mitigation Actions

1. Following a disaster, immediate response operations to save lives, protect property, and meet basic human needs have precedence over recovery and mitigation. However, initial recovery planning should commence at once in tandem with response operations. Actual recovery operations will be initiated commensurate with State priorities and based on availability of resources immediately required for response operations.

2. In recognition that certain response and recovery activities may be conducted concurrently, coordination at all levels is essential to ensure consistent Federal actions throughout the disaster.

3. Mitigation opportunities should be actively considered throughout disaster operations. Decisions made during response and recovery operations can either enhance or hinder subsequent mitigation activities. The urgency to rebuild as soon as possible must be weighed against the longer term goal of reducing future risk and lessening possible impacts should another disaster occur.

D. Organizational Relationships

1. Federal Emergency Management Agency

Under the Stafford Act, FEMA serves as the primary coordinating agency for disaster response and recovery activities. To carry out this interagency role, FEMA executes a wide range of administrative, programmatic, and specialized tasks. Initial tasks include notification, activation, mobilization, deployment, staffing, and facility setup. FEMA processes the Governor's request for disaster assistance, coordinates Federal operations

under a disaster declaration, and appoints an FCO for each declared State. In continuing operations, FEMA provides support for logistics management; communications and information technology; financial management; community relations, congressional affairs, public information, and other outreach; and information collection, analysis, and dissemination.

2. Emergency Support Functions

a. The FRP employs a functional approach that groups under 12 ESFs the types of direct Federal assistance that a State is most likely to need (e.g., mass care, health and medical services), as well as the kinds of Federal operations support necessary to sustain Federal response actions (e.g., transportation, communications). ESFs are expected to support one another in carrying out their respective missions.

b. Each ESF is headed by a primary agency designated on the basis of its authorities, resources, and capabilities in the particular functional area. Other agencies have been designated as support agencies for one or more ESFs based on their resources and capabilities to support the functional area(s). ESF primary and support agency designations are shown in Figure 4.

c. Federal response assistance required under the FRP is provided using some or all of the ESFs as necessary. FEMA will issue a mission assignment to task a primary agency for necessary work to be performed on a reimbursable basis. The primary agency may in turn task support agencies if needed. Specific ESF missions, organizational relationships, response actions, and primary and support agency responsibilities are described in the ESF annexes to the FRP. In cases where required assistance is outside the scope of an ESF, FEMA may directly task any Federal agency to bring its resources to bear in the disaster operation.

d. Requests for assistance from local jurisdictions are channeled to the SCO through the designated State agencies in accordance with the State emergency operations plan and then to the FCO or designee for consideration. Based on State-identified response requirements and FCO or designee approval, ESFs coordinate with their counterpart State agencies or, if directed, with local agencies to provide the assistance required. Federal fire, rescue, and emergency medical responders arriving on scene are integrated into the local ICS structure.

3. Military Support

a. DOD maintains significant resources (personnel, equipment, and supplies) that may be available to support the Federal response to a major disaster or emergency. DOD will normally provide support only when other resources are unavailable, and only if such support does not interfere with its primary mission or ability to respond to operational contingencies.

#	1	2	3	4	5	6	7	8	9	10	11	12
ESF / Agency	Transportation	Communications	Public Works and Engineering	Firefighting	Information and Planning	Mass Care	Resource Support	Health and Medical Services	Urban Search and Rescue	Hazardous Materials	Food	Energy
USDA	S	S	S	P	S	S	S	S	S	S	P	S
DOC		S	S	S	S		S			S		
DOD	S	S	P	S	S	S	S	S	S	S	S	S
DOEd					S							
DOE					S		S	S		S		P
HHS			S		S	S		P	S	S	S	
HUD						S						
DOI		S	S	S	S					S		S
DOJ					S			S	S	S		
DOL			S				S		S	S		
DOS	S									S		S
DOT	P				S		S	S		S		S
TREAS	S				S		S					
VA			S			S	S	S				
AID								S	S			
ARC					S	P		S			S	
EPA			S	S	S			S		P	S	
FCC		S										
FEMA	S	S		S	P	S	S	S	P		S	
GSA	S	S			S	S	P	S			S	
NASA					S		S		S			
NCS		P			S		S	S				S
NRC					S					S		S
OPM							S					
SBA					S							
TVA	S		S									S
USPS	S					S		S				

P = Primary Agency: Responsible for Coordination of the ESF

S = Support Agency: Responsible for Supporting the Primary Agency

Figure 4 — Emergency Support Function Designation Matrix

b. Upon execution of the FRP, requests for military resource support must be accompanied by a Request for Federal Assistance (RFA) form, unless the DOD component is responding under its independent funding authority or the commander's immediate response authority as defined in the DOD Manual for Civil Emergencies (DOD 3025.1M). (Note: The inability to immediately obtain an RFA should not preclude approved support.)

c. Prior to appointment of a Defense Coordinating Officer (DCO) (addressed below), national-level requests for military support are made through the Director of Military Support (DOMS), who represents the DOD executive agent (Secretary of the Army) for provision of military assistance to civil authorities. DOMS exercises national-level oversight of the DCO function.

d. Requests for military support at the Disaster Field Office (DFO) are processed through the DCO, the military official specifically designated to orchestrate DOD support. To ensure a coordinated and consistent DOD disaster response, the DCO is the single point of contact in the field for coordinating and validating the use of DOD resources (excluding those provided by the U.S. Army Corps of Engineers (USACE) when operating as the primary agency for ESF #3 — Public Works and Engineering, and those of the National Guard forces operating under State control). The DCO:

   (1) Is the designated DOD on-scene member of the ERT;

   (2) Coordinates RFAs and mission assignments with the FCO or designated representative, normally the ERT Operations Section Chief; and

   (3) Is supported on scene by a Defense Coordinating Element (DCE), composed of administrative staff and liaison personnel, including the Emergency Preparedness Liaison Officer (EPLO), who normally will collocate with the ERT Operations Section.

   Specific responsibilities of the DCO (subject to modification based on the situation) include validating requirements for military support (i.e., determining if the military could and should support the request); forwarding mission assignments to the appropriate military organization(s); and assigning military liaison officers to provide technical assistance to applicable activated ESFs. The DCO, through appropriate military channels, refers problematic/contentious military support issues to DOMS. DOMS facilitates resolution of issues at the national level.

e. Based on the magnitude and type of disaster and the anticipated level of resource involvement, DOD may establish a Joint Task Force (JTF) or Response Task Force (RTF) to consolidate and manage supporting operational military activities. Both task forces are temporary, multiservice organizations created to provide a consequence management response to a major natural or man-made disaster or emergency. The JTF responds to major disasters such as hurricanes or floods.

The RTF responds to events involving the use, or possible use, of chemical, biological, and/or highly explosive agents/materials. A JTF or RTF commander exercises operational control of all allocated DOD assets (except USACE personnel executing ESF #3 missions and the Joint Special Operations Task Force); provides personnel, equipment, and supplies to the affected area; and provides disaster response support based on mission assignments received through the DCO. Although both commanders may supplant the DCO as the senior DOD representative, the DCO will continue to exercise the ERT staff function of mission assignment coordination and validation, and will act as a liaison between the ERT staff and the JTF or RTF staff.

4. Federal Law Enforcement Assistance

a. In a disaster or emergency, each State has primary responsibility for law enforcement, using State and local resources, including the National Guard (to the extent that the National Guard remains under State authority and has not been called into Federal service or ordered to active duty). Accordingly, the FRP makes no provision for direct Federal support of law enforcement functions in a disaster or emergency.

b. If a State government should experience a law enforcement emergency (including one in connection with a disaster or emergency) in which it could not provide an adequate response to protect the lives and property of citizens, the State (on behalf of itself or a local unit of government) might submit an application in writing from the Governor to the Attorney General of the United States to request emergency Federal law enforcement assistance under the Justice Assistance Act of 1984 (42 U.S.C. 10501-10513) as prescribed in 28 CFR 65. The Attorney General will approve or disapprove the application no later than 10 days after receipt. If the application is approved, Federal law enforcement assistance may be provided to include equipment, training, intelligence, and personnel.

c. In the event that State and local police forces (including the National Guard operating under State control) are unable to adequately respond to a civil disturbance or other serious law enforcement emergency, a Governor may request, through the Attorney General, Federal military assistance under 10 U.S.C. 15. Pursuant to 10 U.S.C. 331-333, the President will ultimately determine whether to use the Armed Forces to respond to a law enforcement emergency. Under Title 10 authority, the President may federalize and deploy all or part of any State's National Guard.

d. Procedures for coordinating DOD and Department of Justice (DOJ) responses to law enforcement emergencies arising under 10 U.S.C. 331-333 are set forth in the DOD Civil Disturbance Plan (GARDEN PLOT), February 15, 1991.

e. Policies and structures for coordinating FRP operations with a DOJ response to threats or acts of terrorism within the United States are described in the FRP Terrorism Incident Annex.

E. Emergency Teams and Facilities

The FRP and its operational components are designed to be flexible in order to accommodate the response and recovery requirements specific to the disaster. In general, headquarters-level components provide support to the regional-level components that implement the on-scene operations in the field. Major components include:

1. National Emergency Coordination Center/Mobile Emergency Response Support Operations Center

a. The National Emergency Coordination Center (NECC) serves as FEMA's official notification point of an impending or actual disaster or emergency. This facility maintains a 24-hour capability to monitor all sources of warning/disaster information, including other Federal agencies, FEMA regions, and the news media. The NECC reports disaster events to FEMA key officials, FEMA regions, and FRP signatory agencies.

b. Each FEMA region is supported by a Mobile Emergency Response Support (MERS) Operations Center (MOC). Each MOC operates 24 hours a day and is tasked with monitoring events and providing pertinent information to FEMA regional staff and the NECC.

2. Regional Operations Center

The Regional Operations Center (ROC) staff coordinates Federal response efforts until an ERT is established in the field and the FCO assumes coordination responsibilities. Generally operating from the FEMA Regional Office, the ROC establishes communications with the affected State emergency management agency and the EST; coordinates deployment of the Emergency Response Team — Advance Element (ERT-A) to field locations; assesses damage information and develops situation reports (under ESF #5 — Information and Planning); and issues initial mission assignments. The ROC is activated by the FEMA Regional Director based on the level of response required. It is led by a ROC Director and consists of FEMA staff and ESF representatives, as well as a Regional Emergency Preparedness Liaison Officer (REPLO) who assists in coordination of requests for military support. Financial management activity at the ROC will be monitored and reported by the Comptroller. A ROC organization is shown in Figure 5.

3. Emergency Response Team — Advance Element

The ERT-A is the initial Federal group that responds to an incident in the field. It is headed by a team leader from FEMA and is composed of FEMA program and support staff and representatives from selected ESF primary agencies. A part of the ERT-A deploys to the State Emergency Operations Center (EOC) or to other locations to work directly with the State to obtain information on the impact of the event and to identify specific State requests for Federal response assistance that are called back to the ROC for processing. Other elements of the ERT-A (including MERS personnel and equipment) deploy directly to or near the affected area to establish field communications, locate and establish field facilities, and set up operations. The ERT-A identifies or validates the suitability of candidate sites for the location of mobilization center(s) and the DFO.

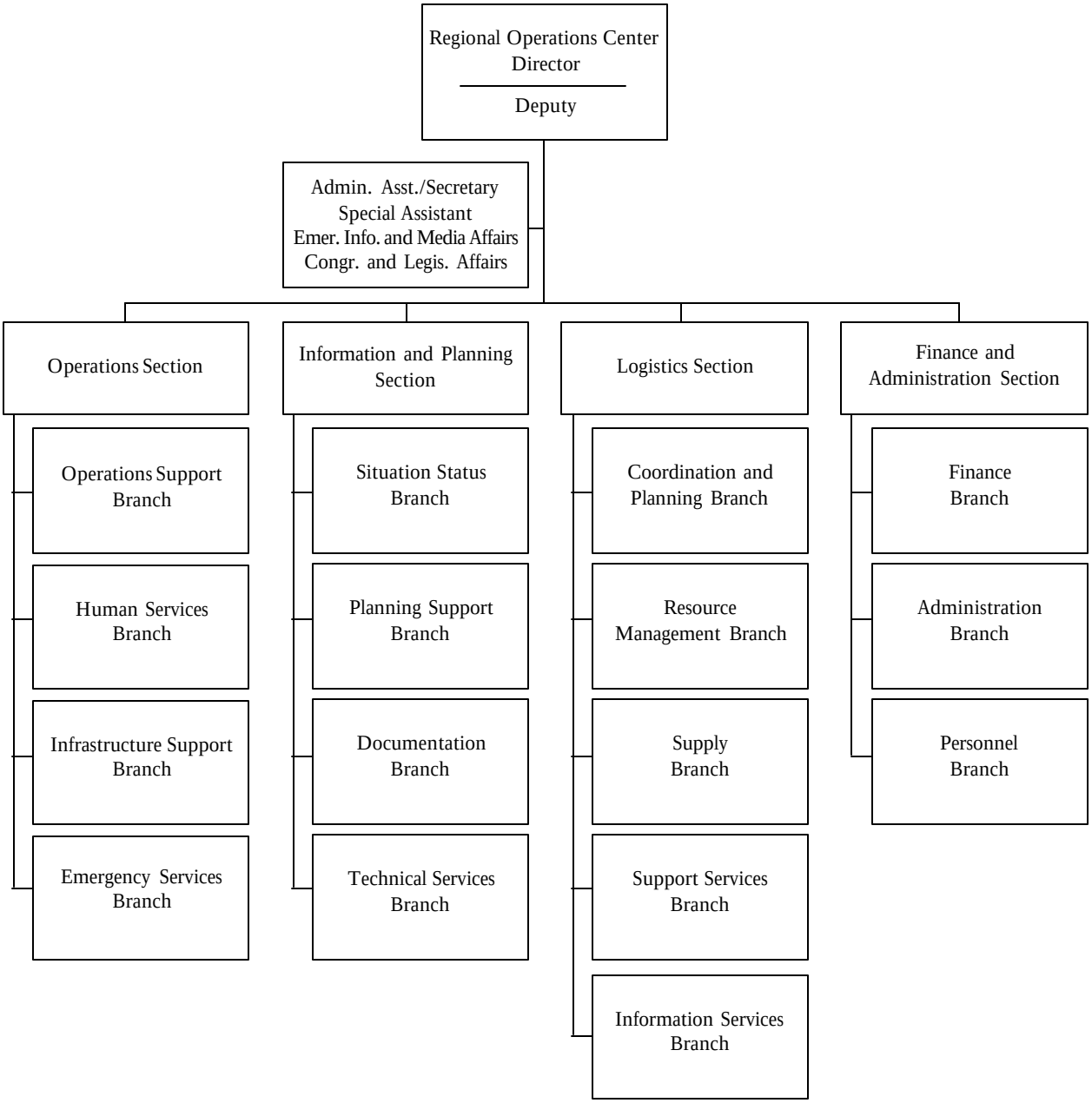


Figure 5 — Regional Operations Center Organization

4. National Emergency Response Team

In a catastrophic disaster or high-visibility incident that would demand the full capabilities of FEMA, a National Emergency Response Team (ERT-N) may deploy to the affected area. The Director of FEMA determines the need for an ERT-N deployment, coordinating the plans with the affected region and other Federal agencies. The ERT-N comprises staff from FEMA Headquarters and regional offices as well as other Federal agencies. (Three ERT-N teams are rostered; each team is on call every third month.)

5. Disaster Field Office

The DFO is the primary field location in each affected State for the coordination of Federal response and recovery operations. It operates 24 hours per day, as needed, or under a schedule sufficient to sustain Federal operations. The FCO and SCO collocate at the DFO, along with Federal agency regional representatives and State and local liaison officers, when possible. Once the DFO is ready for use, the ERT-A and/or ERT-N is augmented by FEMA and other Federal agency staff to form a full ERT.

6. Emergency Response Team

The ERT is the principal interagency group that supports the FCO in coordinating the overall Federal disaster operation. Located at the DFO, the ERT ensures that Federal resources are made available to meet State requirements identified by the SCO. The size and composition of the ERT can range from FEMA regional office staff who are primarily conducting recovery operations to an interagency team having representation from all ESF primary and support agencies undertaking full response and recovery activities. The ERT organizational structure, encompassing the FCO's support staff and four main sections (Operations, Information and Planning, Logistics, and Administration), is shown in Figure 6.

a. FCO Support Staff

(1) The FCO's immediate staff can include a Deputy FCO and/or Deputy FCO for Mitigation as well as representatives providing assistance in the following organizational or functional areas: Equal Rights, Safety Officer, Environmental Officer, General Counsel, Emergency Information and Media Affairs, Congressional and Legislative Affairs, Community Relations, Office of the Inspector General, and Comptroller.

(2) In addition, a Defense Coordinating Officer works closely with the FCO or designated representative in orchestrating military support.

b. Operations Section

(1) This section coordinates the delivery of Federal assistance and manages the activities of various emergency teams. Immediate support staff functions include Mission Assignment Coordination, Action Tracking, Defense Coordinating Element, and Mobile Emergency Response Support.

(2) The section is composed of four branches — Operations Support, Human Services, Infrastructure Support, and Emergency Services. As shown in Figure 7, the 12 ESFs, along with several recovery program groups, are organized functionally under the branches to provide a coordinated approach and ensure seamless delivery of assistance to disaster survivors and the affected State.

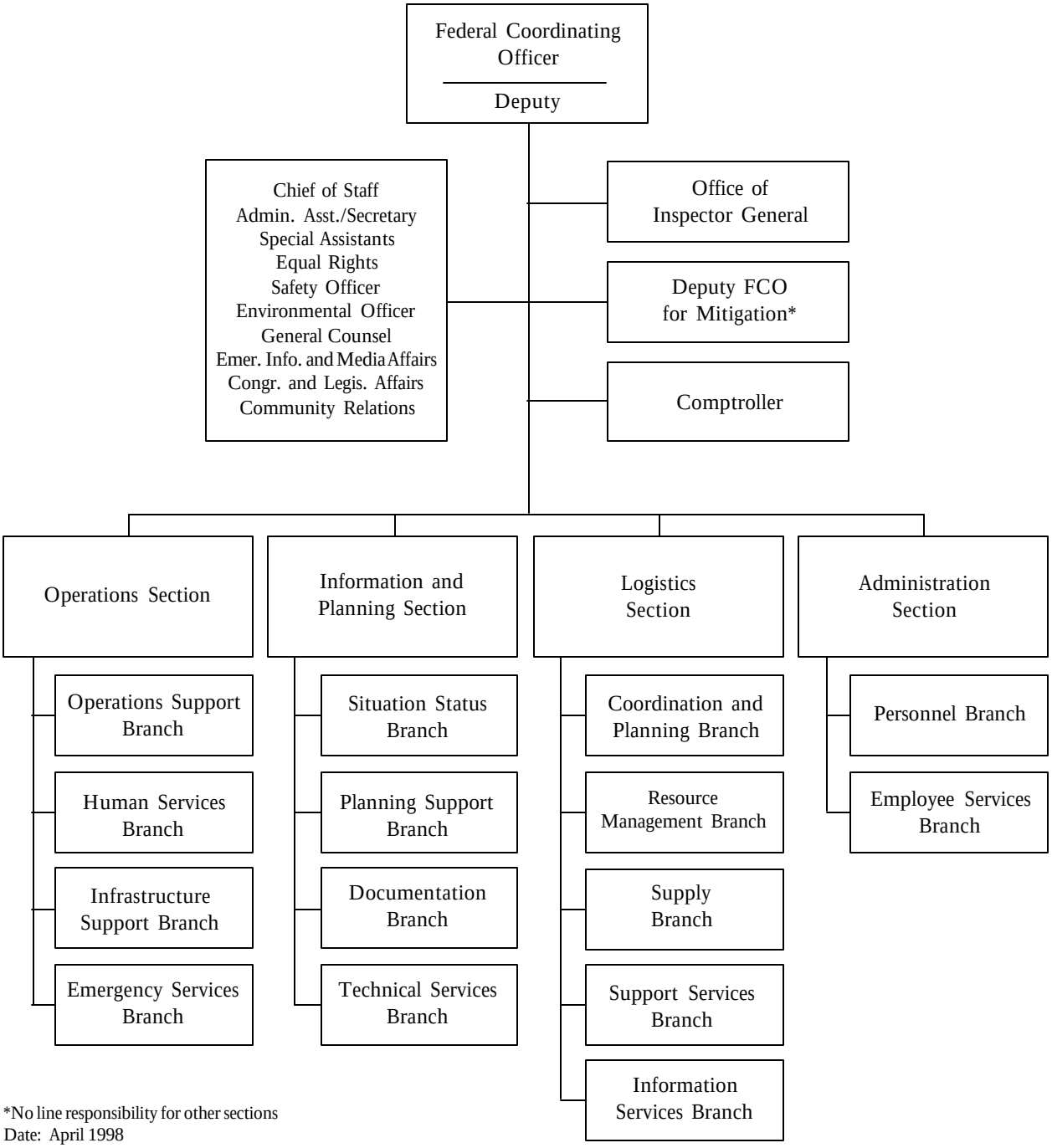


Figure 6 — Emergency Response Team Organization

c. Information and Planning Section

This section has two major tasks: the collection, processing, analysis, and dissemination of information about disaster operations to support planning and decision making at both the field operations and headquarters levels; and the coordination of short- and long-term planning at the field operations level. (See ESF #5 — Information and Planning Annex for additional information.)

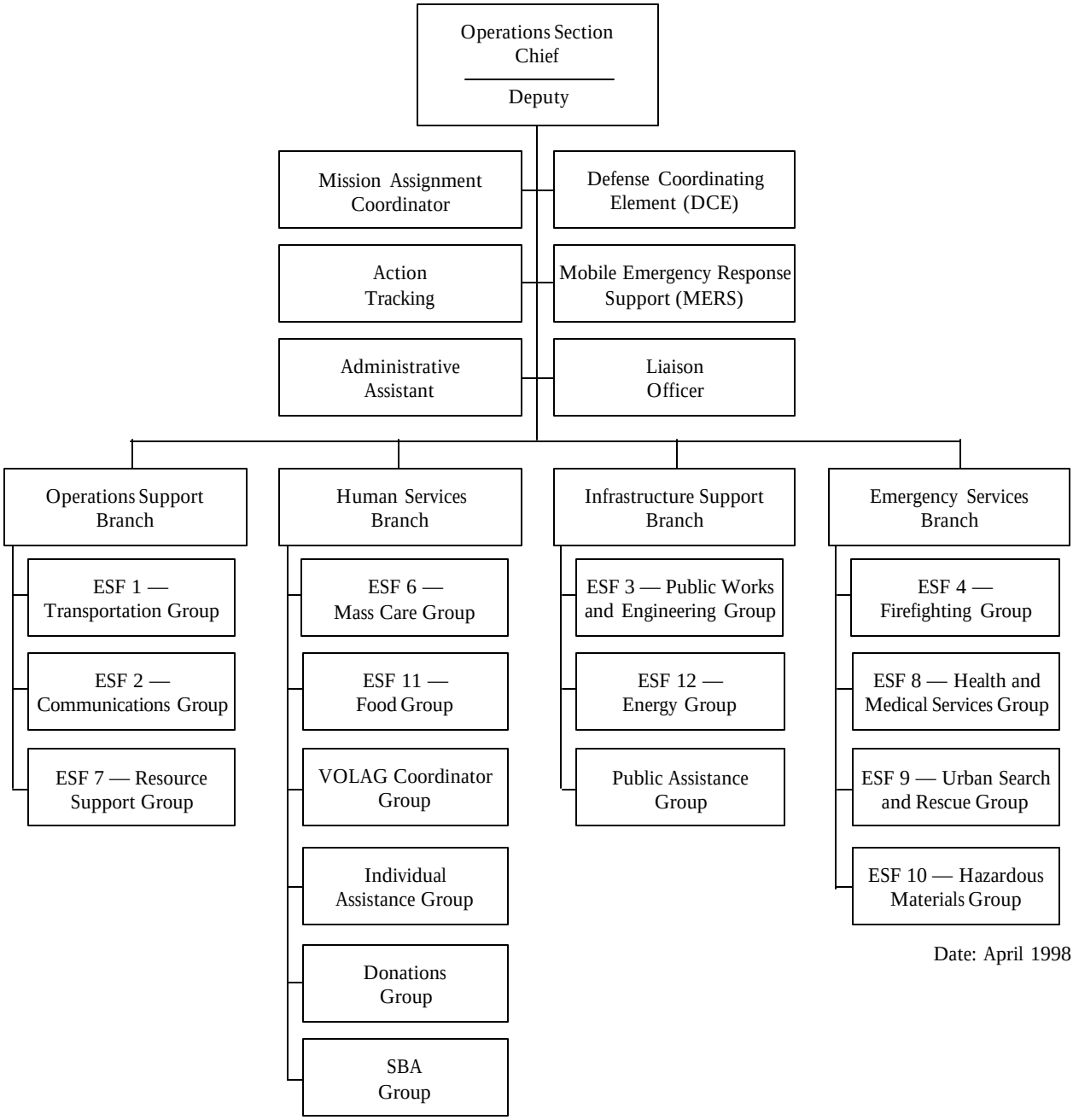


Figure 7 — ERT Operations Section Organization

d. Logistics Section

This section plans, organizes, and directs logistics operations that include control and accountability for supplies and equipment; resource ordering; delivery of supplies, equipment, and services to the DFO and other field locations; resource tracking; facility location, setup, space management, building services, and general facility operations; transportation coordination and fleet management services; information and technology systems services; administrative services such as mail management and reproduction; and customer assistance. (See the Logistics Management Support Annex for additional information.)

e. Administration Section

This section is responsible for personnel functions and employee services. Personnel functions cover tracking FEMA staff and disaster reservist deployment, obtaining local hires, arranging billeting, and processing payroll. Employee services include providing for ERT personnel health and safety, overseeing access to medical services, and ensuring security of personnel, facilities, and assets.

7. Emergency Support Team

The EST is the interagency group that provides general coordination support to the ROC staff, ERT-A, and ERT response activities in the field. Operating from the FEMA Emergency Information and Coordination Center (EICC) in Washington, DC, the EST is responsible for coordinating and tracking the deployment of Initial Response Resources, DFO kits, Disaster Information Systems Clearinghouse (DISC) packages, and other responder support items to the field. The EST serves as the central source of information at the headquarters level regarding the status of ongoing and planned Federal disaster operations. The EST attempts to resolve policy issues and resource support conflicts forwarded from the ERT. Conflicts that cannot be resolved by the EST are referred to the CDRG. The EST also provides overall resource coordination for concurrent multi-State disaster response activities. ESF primary agencies send staff to the EST or opt to coordinate response support activities from their own agency EOCs. The EST organizational structure is shown in Figure 8. It parallels the ERT organization, but is not identical.

8. Catastrophic Disaster Response Group

The CDRG, composed of representatives from all FRP signatory departments and agencies, operates at the national level to provide guidance and policy direction on response coordination and operational issues arising from the FCO and ESF response activities. CDRG members are authorized to speak for their agencies at the national policy level. During a disaster the CDRG convenes as necessary, normally at FEMA Headquarters; the EST provides any needed support.

9. Disaster Recovery Center

A Disaster Recovery Center (DRC) is a centralized location where individuals affected by a disaster can go to obtain information on disaster recovery assistance programs from various Federal, State, and local agencies as well as voluntary organizations. Trained staff also is on hand to provide counseling and advice. It is generally expected that individuals visit the DRC after they have called the teleregistration center to apply for assistance, as applications usually will not be taken at the DRC. However, a DRC may serve as a workshop site for assisting families and businesses to complete Small Business Administration disaster loan application forms. A center dealing only with mitigation in reconstruction and rebuilding techniques may be called a Reconstruction Information Center (RIC). A RIC may be set up at a fixed or mobile location.

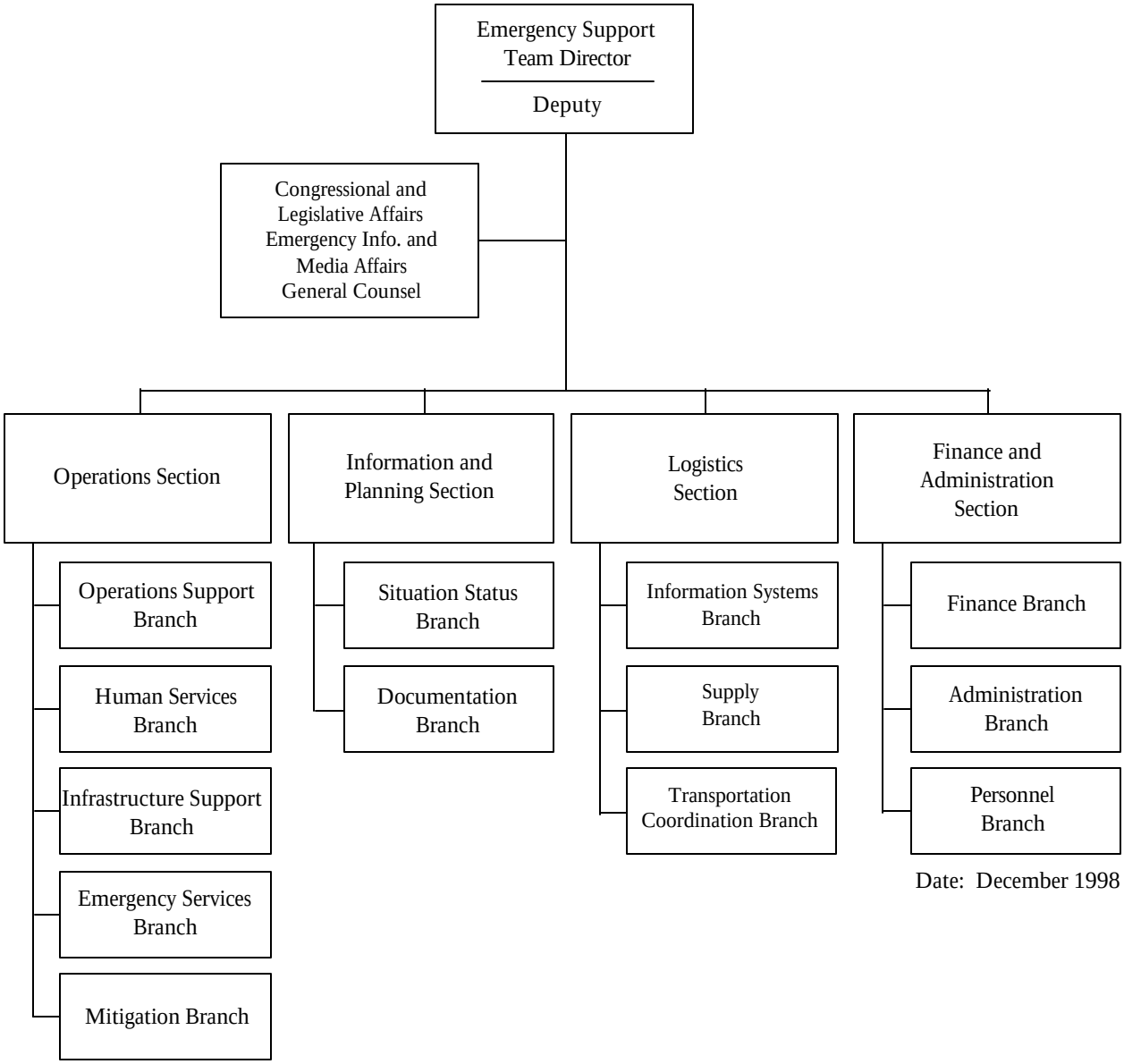


Figure 8 — Emergency Support Team Organization

10. Other Teams/Facilities/Capabilities

a. Additional specialized teams are ready for deployment to support disaster operations, including damage assessment teams, Disaster Medical Assistance Teams, Donations Coordination Teams, Urban Search and Rescue (US&R) task forces, US&R Incident Support Teams, and mitigation assessment teams.

b. Additional facilities support organizational deployment, including assembly points, mobilization centers, staging areas, points of departure, and points of arrival.

c. Various other coordinating mechanisms, management tools, and information systems contribute to the overall Federal disaster operations system, including:

(1) Time-Phased Force and Deployment List (TPFDL). A tool to manage the rapid, systematic movement of Federal response personnel, equipment, and critical relief supplies into an affected area in accordance with operational priorities;

(2) Movement Coordination Center (MCC). An element under ESF #1 that is located at FEMA Headquarters and, if necessary, in the field to coordinate the acquisition of transportation capacity and maintain visibility over validated transportation requests for assistance from inception through delivery to a mobilization center; and

(3) Rapid Response Information System (RRIS). A system of databases and links to Internet sites providing information to Federal, State, and local emergency officials on Federal capabilities to render assistance to manage the consequences of a terrorist attack using weapons of mass destruction. This information is directly available to designated officials in each State, the FEMA regions, and key Federal agencies via a protected Intranet site. Local officials have access to the abbreviated Internet site and indirectly to the Intranet site through their State counterparts. Additional information is available to the emergency response community on characteristics of weapons of mass destruction and appropriate safety measures; availability of excess or surplus Federal equipment; access to chemical, biological, and nuclear helplines and hotlines; training courses; and a reference library.

d. Many of these additional teams, facilities, and capabilities are discussed in the FRP annexes or are defined further in Appendix A.

V. Response and Recovery Actions

Federal agencies are prepared to take a variety of actions to assist State and local governments in responding to and recovering from a major disaster. These actions — ranging from initial notification of a disaster to preparation of a final disaster after-action report — are summarized below. They are not necessarily in sequential order; some may be undertaken concurrently. An overview of an entire disaster operation, indicating key operational components and the typical sequence of actions, appears in Appendix D.

A. Initial Actions

1. Notification

a. Upon indication of an imminent or actual disaster, the State notifies the FEMA Regional Office through the MERS Operations Center 800 number. The MOC then immediately notifies the NECC and FEMA regional staff in accordance with regional procedures. If directed by the Regional Director, the MOC also notifies regional agency representatives.

b. The NECC notifies key FEMA headquarters staff and other Federal agencies through their respective agency EOCs and/or designated individual(s). An **Advisory** is issued to provide an early warning that a possible event being monitored may result in activation. The Advisory is for information only and requires no formal action. An **Alert** is issued when an imminent or actual event is likely to result in activation. It puts Federal responders on notice that they need to be ready for immediate deployment. An **Activation** directs immediate deployment to the location specified in the notice. A **Cancellation** indicates that no further action is required or that an activation notification is being terminated.

c. CDRG members may be notified to convene at FEMA Headquarters for an initial meeting, depending on the nature of the disaster. CDRG members or alternates remain on call to meet at any time during the disaster response.

2. Activation

a. The FEMA Regional Director deploys a FEMA State Liaison to the State EOC to provide advice on the declaration process and available Federal assistance, and also partially or fully activates the ROC staff, including regional agency representatives.

b. With the support of ESFs, the ROC staff initially deploys members of the ERT-A, including damage assessment personnel, to State operating facilities and disaster sites to assess the impact of the situation, collect damage information, and determine requirements. If regional resources appear to be overwhelmed or in an event having potentially significant consequences, FEMA Headquarters may deploy an ERT-N to coordinate the initial response.

c. Meanwhile, if directed by FEMA Headquarters, the NECC informs ESF primary agencies of an EST activation and provides a time for each activated ESF to report to FEMA Headquarters, as part of the EST. Primary agencies are responsible for activation of their support agencies if required. Agencies may activate their headquarters EOCs to provide coordination and direction to their regional response elements in the field.

d. The Regional Director processes the Governor's request for a Presidential declaration, which indicates the extent of damage and the types of Federal assistance required. FEMA Headquarters then forwards the Governor's request to the White House, along with a recommended course of action. Concurrent with a Presidential declaration of a major disaster or emergency and official appointment of an FCO, FEMA designates the types of assistance to be made available and the counties eligible to receive assistance. The Regional Director appoints a Disaster Recovery Manager.

e. The ROC and EST Logistics Section support the establishment of a DFO and mobilization center(s). The ROC also coordinates Federal support of State requirements until the FCO assumes those responsibilities. A Joint Information Center (JIC) may be established, as required, to provide a central point for coordinating emergency public information activities.

f. The ERT-A/ERT-N coordinates damage assessment and selection of locations for field facilities with the State. It also coordinates mission assignments for direct Federal assistance and procurement of goods and services with the Comptroller and ROC staff. The ERT-A/ERT-N begins the transition to a partial or full ERT.

g. ESFs act quickly to determine the impact of a disaster on their own capabilities and to identify, mobilize, and deploy resources to support response activities in the affected State.

h. The EST begins interagency operations by supporting initial activation, mission assignment requirements, and ROC staff activities as needed.

B. Continuing Actions

1. Response Operations

a. The ERT-A/ERT-N completes the transition to a full ERT by the addition of staff, including ESF representatives.

b. Headed by the FCO and located at the DFO, the ERT assumes operational responsibility from the ROC staff for coordinating Federal disaster assistance in support of State-identified needs and priorities submitted by the SCO.

c. The ESF representatives on the ERT coordinate Federal assistance under their respective ESF missions. To the extent possible, they maintain contact with their State counterparts.

d. At FEMA Headquarters, the EST provides financial, administrative, logistical, and operational support to the ERT and ROC as required, including coordinating the deployment of emergency teams and supplies. The CDRG convenes as needed to address policy issues such as allocation of scarce Federal resources.

e. Early in the response, the Deputy FCO for Mitigation plays a critical role in identifying mitigation opportunities and educating disaster workers on the merits of incorporating mitigation measures into response and recovery actions.

f. Congressional affairs staff from FEMA and supporting agencies conduct briefings for Members of Congress and staff as appropriate.

g. Working with other Federal and State environmental agencies, the Environmental Officer identifies environmental and historic resources that might require consideration under the law as response and recovery efforts are implemented.

h. Once immediate response missions and lifesaving activities conclude, emergency teams are demobilized and the emphasis shifts from response to recovery operations. The ERT Information and Planning Section develops a demobilization plan for the ERT during response operations.

2. Recovery Operations

a. The ERT Operations Section is the central coordination point among State and Federal agencies and voluntary organizations for delivering recovery assistance programs. The Human Services and Infrastructure Support Branches of the Operations Section assess State and local recovery needs at the outset of the disaster and relevant time frames for program delivery. The branches ensure that Federal agencies that might have appropriate recovery assistance programs are notified of the disaster and share relevant applicant and damage information with all involved agencies.

b. In conjunction with the SCO, the FCO determines the need for DRCs in the disaster area. State and Federal agencies staff the DRCs with knowledgeable officials who provide recovery program information, advice, counseling, and technical assistance related to mitigation.

c. The Human Services Branch of the ERT coordinates assistance programs to help individuals, families, and businesses meet basic needs and return to self-sufficiency. The branch also coordinates with voluntary organizations and may become involved in donations management.

d. The Infrastructure Support Branch of the ERT coordinates assistance programs to aid State and local governments and eligible private nonprofit organizations to repair or replace damaged public facilities.

e. The two branches assist in identifying appropriate agency assistance programs to meet applicant needs, synchronizing assistance delivery, and encouraging incorporation of mitigation measures where possible. Additionally, they track overall progress of the recovery effort, particularly noting potential program deficiencies and problem areas.

f. The Deputy FCO for Mitigation coordinates agency assessment of mitigation program needs and begins to match Federal and State resources to meet those needs.

3. Stand-Down

When a centralized Federal coordination presence is no longer required in the affected area, the ERT implements the demobilization plan to transfer responsibilities and close out the DFO. Recovery assistance program oversight and monitoring then shifts back to individual agencies' regional offices or headquarters.

4. After-Action Report

Following a disaster, the FCO submits an after-action report through the ERT Information and Planning Section to FEMA Headquarters detailing problems encountered and key issues affecting Federal performance. Data from these issues and targeted reviews are

analyzed and provided to appropriate FEMA management for consideration. After a particularly large or unique disaster operation, FEMA also may convene an interagency forum to identify lessons learned. Each Federal agency involved is encouraged to keep records of its activity to assist in preparing its own after-action report.

VI. Responsibilities

A. ESF Primary Agencies

A Federal agency designated as an ESF primary agency serves as a Federal executive agent under the FCO to accomplish the ESF mission. When an ESF is activated in response to a disaster, the primary agency for the ESF has operational responsibility for:

1. Orchestrating the Federal agency support within the functional area for an affected State;
2. Providing an appropriate level of staffing for operations at FEMA Headquarters, the ROC, DFO, and DRC;
3. Activating and subtasking support agencies;
4. Managing mission assignments and coordinating tasks with support agencies, as well as appropriate State agencies;
5. Supporting and keeping other ESFs and organizational elements informed of ESF operational priorities and activities;
6. Executing contracts and procuring goods and services as needed;
7. Ensuring financial and property accountability for ESF activities; and
8. Supporting planning for short- and long-term disaster operations.

B. ESF Support Agencies

When an ESF is activated in response to a disaster, each support agency for the ESF has operational responsibility for:

1. Supporting the ESF primary agency when requested by conducting operations using its authorities, cognizant expertise, capabilities, or resources;
2. Supporting the primary agency mission assignments;
3. Providing status and resource information to the primary agency;
4. Following established financial and property accountability procedures; and
5. Supporting planning for short- and long-term disaster operations.

C. Recovery Agencies

In recovery operations, each Federal agency has responsibility for:

1. Supporting the FCO in identifying needs and addressing recovery and mitigation program implementation;

2. Executing agency programs in an interagency, intergovernmental partnership environment;
3. Obtaining funding from the agency's own statutory sources;
4. Providing the appropriate level of program staffing to meet common customer service goals and to represent the agency on the ERT;
5. Providing status information to the FCO and SCO; and
6. Supporting planning for short- and long-term disaster recovery and mitigation operations.

D. Other Federal Agencies

Other Federal agencies not signatories to the FRP may have authorities, expertise, capabilities, or resources that may be required to support disaster operations. Those agencies may be requested to participate in Federal planning and operations activities, designate staff to serve as representatives to the CDRG, and/or provide support to the field.

E. Planning

FEMA is responsible for coordinating overall planning under the FRP, including review and revision of the FRP, related annexes, and supporting operational procedures. Primary, support, and recovery agencies are responsible for planning and coordinating the delivery of disaster assistance. Primary agencies are responsible for taking the lead in preparing and maintaining their specific ESF annex to the FRP. All agencies will contribute to the development of supporting material to the FRP, including headquarters annexes and appendices, as well as regional supplements describing specific policies and procedures for disaster operations.

At the headquarters level, the ESF Leaders Group (ESFLG) is the principal body that addresses FRP planning and implementation at the working level. It handles issue formulation and resolution, review of after-action reports, significant changes to FRP planning and implementation strategies, and other FRP-related operational issues that involve interagency resolution. The ESFLG forwards to the CDRG issues that cannot be resolved at the working level. Federal agencies designate representatives to serve on the CDRG, ESFLG, and other interagency bodies and working groups. Agencies also participate in FRP exercise, training, and postevent evaluation activities.

In each of the 10 standard Federal regions, a Regional Interagency Steering Committee (RISC) exists to coordinate interagency and intergovernmental issues related to disaster planning and operations. Federal agencies designate representatives to serve on the RISC and participate in regional preparedness activities. Additionally, State emergency management agencies are encouraged to send representatives to RISC meetings and to participate in regional exercise and training activities.

This page intentionally left blank.

Emergency Support Function #1
Transportation Annex

Primary Agency:	Department of Transportation
Support Agencies:	Department of Agriculture Department of Defense Department of State Department of the Treasury Federal Emergency Management Agency General Services Administration Tennessee Valley Authority U.S. Postal Service

I. Introduction

A. Purpose

Emergency Support Function (ESF) #1 — Transportation assists Federal agencies, State and local governmental entities, and voluntary organizations requiring transportation capacity to perform response missions following a major disaster or emergency. ESF #1 also serves as a coordination point between response operations and restoration of the transportation infrastructure.

B. Scope

Federal transportation assistance provided by ESF #1 includes, but is not limited to:

1. Processing and overall coordination of requests for Federal and civil transportation support received from organizations eligible under the Federal Response Plan (FRP), including requests for military transportation;
2. Operating national and field Movement Coordination Centers (MCCs), as required, to obtain transportation services and provide visibility of transportation assets into and out of the disaster area;
3. Assessing the damage to the transportation infrastructure, analyzing the effects of the disaster on the regional and national transportation system, monitoring the accessibility of transportation capacity and congestion in the transportation system, and implementing management controls as required;
4. Assisting in the design and implementation of alternate transportation services, such as mass transit systems, to temporarily replace system capacity lost to disaster damage;
5. Coordinating the clearing and restoration of the transportation infrastructure;

6. Coordinating activities conducted under the direct authority of Department of Transportation (DOT) elements, such as air and marine traffic control and search and rescue; and
7. Providing DOT-owned aircraft for transportation of personnel and cargo, to the extent these assets are not required for internal priority DOT missions.

II. Policies

A. Federal transportation planning will consider utilizing civil transportation capacity, as well as capacity owned or operated by Federal agencies.

B. Federal transportation planning will recognize State transportation policies and plans used to control the movement of relief personnel, equipment, and supplies, as well as State-established priorities for determining precedence of movement.

C. DOT Headquarters will facilitate coordination between DOT regions in the event of multiregion ESF #1 operations.

D. Initial movements of Federal personnel, equipment, and supplies will be managed using a Time-Phased Force and Deployment List (TPFDL). TPFDLs for various scenarios will be developed and maintained through an interagency process led by the Federal Emergency Management Agency (FEMA) prior to a disaster to facilitate the prompt deployment of resources when disaster strikes. Each ESF is responsible for compiling, submitting, and updating information for inclusion in the TPFDL.

E. All users of transportation should use established shipper-carrier relationships to move materials into a disaster area and, if possible, include transportation as part of each contract for acquisition of goods. The establishment of pre-disaster contracts and arrangements for transportation is encouraged. Requests for ESF #1 assistance should be considered only after such arrangements are no longer available or not feasible. However, it is essential to the orderly flow of resources for ESFs to advise ESF #1 of all transportation movements arranged directly.

F. Military transportation will be provided in accordance with the Military Support section of the FRP Basic Plan (page 13).

III. Situation

A. Disaster Condition

A major disaster will severely damage the civil transportation system throughout the impacted area. Most local transportation activities will be hampered by damaged facilities, equipment, and infrastructure, as well as disrupted communications. At the same time, the disaster will create significant demands for national, regional, and local transportation of resources to provide for relief and recovery. Federal assistance may be required to meet these demands for movement of essential resources, as well as for clearing and restoration of the transportation system.

B. Planning Assumptions

1. The area/regional civil transportation infrastructure will sustain damage, limiting access to the disaster area. Access will improve as routes are cleared and repaired or as detours are built.
2. The requirements for transportation capacity will exceed State and/or locally controlled or accessible assets, demanding assistance from the Federal Government.
3. Infrastructure damage and communications disruptions will inhibit efficient coordination of transportation support during the immediate postdisaster period.
4. Gradual clearing of access routes and improved communications will permit an increased flow of emergency relief, although localized distribution patterns might remain unusable for a significant period.
5. The movement of relief supplies may create congestion in the transportation network both nationally and regionally, requiring imposition of controls.
6. ESF #1 can assist in the procurement of adequate transportation services and restoration of the system.
7. Local distribution of resources from a mobilization center to individual victims will normally be the responsibility of mission-assigned Federal agencies, as well as the affected State and local authorities, although ESF #1 can assist in the procurement of vehicles and supporting equipment for such operations.

IV. Concept of Operations

A. General

1. The Disaster Transportation Management System (DTMS) provides a structure for managing the acquisition of transportation services and the deployment of relief and recovery resources from around the Nation into the disaster area. The DTMS includes two components:
   a. TPFDLs, which are planned, prioritized lists of the most critical Federal assets to be deployed rapidly to the disaster site; and
   b. Movement Coordination Center(s) to assist in the procurement of transportation assets and track the movement of resources to the disaster area. The MCC team is led by DOT and includes representatives from the Department of Defense (DOD), FEMA, General Services Administration (GSA), and Forest Service. All FRP agencies must notify the MCC when transportation arrangements are made, so that resources can be tracked and reception plans executed.
2. When a disaster occurs, the Secretary of Transportation will appoint a DOT Crisis Coordinator to manage the overall DOT/ESF #1 response, usually the Administrator of the Research and Special Programs Administration (RSPA). The Crisis Coordinator will provide policy direction over all national and regional ESF #1 response

operations. The Director, Office of Emergency Transportation (OET), in RSPA will provide principal support to the Crisis Coordinator and manage ESF #1 operations at Headquarters. OET is also responsible for ESF #1 planning.

3. In the disaster area, direction of the ESF #1 mission is provided by the DOT Regional Emergency Transportation Coordinator (RETCO). The RETCO is the Secretary of Transportation's representative for emergency preparedness and response matters and is the senior regional ESF #1 official for both planning and execution.
4. Regional ESF #1 organization, notification, deployment, and support operations will be conducted in accordance with the respective ESF #1 annexes to the regional FRP supplements.
5. Communications will be established and maintained with ESF #5 — Information and Planning to report and receive assessments and status information.
6. All requests for Federal assistance and mission assignments for transportation support will be submitted to ESF #1 for coordination, validation, and/or action in accordance with this annex.

B. Organization

1. National-Level Response Structure

a. National-level policy direction and management will be provided by the DOT Crisis Coordinator. Principal ESF #1 operations will be conducted at the DOT Headquarters Crisis Management Center (CMC). The DOT Crisis Coordinator will provide guidance and direction to ESF #1 representatives assigned to the Emergency Support Team (EST) at FEMA Headquarters, as well as to the support agencies and regional response organization.

b. The DOT Crisis Coordinator will represent the Department in deliberations of the Catastrophic Disaster Response Group (CDRG) during disasters.

c. The OET Director will activate the headquarters ESF #1 organization and the DOT CMC. The CMC will operate from Room 8336, DOT Headquarters Building, 400 Seventh Street SW., Washington, DC. The CMC is staffed by representatives of DOT operating administrations and selected ESF #1 support agencies, and serves to coordinate and support ESF #1 activities and internal departmental functions.

d. The MCC will be established at FEMA Headquarters by the DOT Crisis Coordinator at the request of the EST Director.

2. Regional-Level Response Structure

a. The RETCO is responsible for coordinating Federal transportation response activities within the assigned jurisdiction.

b. The RETCO will activate those elements of the regional ESF #1 response organization required to meet the demands of the disaster, including ESF representatives to the Regional Operations Center (ROC), Emergency Response Team (ERT), and field MCC.

C. Response Actions

1. Initial Actions

a. Headquarters

Immediately upon notification of an imminent or actual disaster, priority attention will be directed toward:

(1) Establishing necessary emergency operating facilities, such as the CMC, and incident reporting systems;

(2) Establishing communications with the Office of the Secretary, the impacted RETCO, DOT elements, and appropriate ESF #1 support agencies;

(3) Establishing communications with FEMA and other appropriate agencies to obtain the location of possible damage areas, degree of damage, and other available information, including aerial imagery;

(4) Providing appropriate representation to the CDRG and staff to the EST (including the MCC if required);

(5) Implementing plans internal to DOT to ensure adequate staff and administrative support; and

(6) Providing assistance to regional ESF #1 operations.

b. Region

The RETCO will give priority attention to:

(1) Establishing necessary emergency reporting systems and operating facilities;

(2) Establishing communications with the Federal Coordinating Officer (FCO), the State Coordinating Officer, DOT operating administrations, and ESF #1 support agencies; and

(3) Establishing communications with the DOT CMC.

2. Continuing Actions

a. All ESFs will make maximum use of GSA standing schedules to secure transportation support resources and services, generally as part of a contract for acquisition of goods. ESF #1 will acquire transportation services when normal channels of procurement are unable to provide the service. In all cases, the MCC must be advised of all transportation movements arranged directly by the ESFs or other team elements (e.g., Logistics Section).

b. Through the MCC, ESF #1 will maintain surveillance over the availability of both Federal and civil transportation capacity. Shortages will be reported immediately to the DOT CMC, which will assist in identifying sources and may consider imposing priorities and allocations if the Defense Production Act has been implemented.

c. The RETCO will coordinate with appropriate State and local agencies to facilitate the movement of people and goods to, from, and within the disaster area.

d. The RETCO will be responsible for the administrative support of individuals involved in regional emergency transportation operations and for managing all financial transactions undertaken through mission assignments issued to DOT.

e. The RETCO will coordinate with appropriate DOT regional operating administrations on the implementation of specific DOT statutory authorities providing immediate assistance, such as air traffic control, search and rescue, long-term recovery of the transportation infrastructure, and mitigation efforts to lessen the effects of future disasters.

V. Responsibilities

A. Primary Agency: Department of Transportation

1. Coordinate the provision of Federal and civil transportation capacity in support of Federal agencies, State and local governmental entities, and voluntary organizations, including contracting for such resources when required;
2. Provide staffing to and manage the MCC(s);
3. Manage the financial aspects of the ESF #1 response, including the funding of mission assignments and the process for reimbursement from FEMA;
4. Supervise the assessment of damage to the transportation infrastructure and the analysis of the impact of the disaster on transportation operations, regionally and nationally;
5. Coordinate and implement, as required, emergency-related response and recovery functions performed under DOT statutory authorities, including the prioritization and/or allocation of civil transportation capacity, air and marine traffic control, search and rescue, emergency highway funding for federally owned highways and highways on the Federal Aid System, hazardous material containment response, and damage assessment;
6. Provide technical assistance to Federal, State, and local governmental entities in determining the most viable transportation networks to, from, and within the disaster area, as well as alternate means to move people and goods within the area affected by the disaster; and
7. Identify resource requirements for transportation and coordinate their allocation.

B. Support Agencies

1. Department of Agriculture, Forest Service

a. Manage mobilization centers for ESF #7 — Resource Support to receive goods shipped in support of the disaster; and

b. Provide staffing to the MCC(s).

2. Department of Defense

a. Provide support in the emergency operation of inland waterways, ports, and harbors under the supervision of the U.S. Army Corps of Engineers, including dredging operations;

b. Assist in restoring the transportation infrastructure;

c. Provide organic military transportation capacity from the U.S. Transportation Command (USTRANSCOM) to move essential resources and assist in the contracting for civilian airlift. USTRANSCOM also will provide staff to the MCC(s); and

d. Assist in the development and support the execution of TPFDLs for high-priority response resources.

3. Department of State

Coordinate requests for and offers of transportation assistance from foreign governments.

4. Department of the Treasury, U.S. Customs Service

Provide airlift and marine transportation capability.

5. Federal Emergency Management Agency

a. Coordinate the acquisition, movement, and distribution of FEMA-owned relief goods into the disaster area, in accordance with the Logistics Management Support Annex;

b. Initiate transportation actions prior to MCC activation, keep DOT informed of early transportation actions, and assume responsibility for closeout of actions after the headquarters and field MCCs deactivate;

c. Supervise the development of the TPFDLs; and

d. Provide staffing to the MCC(s).

6. General Services Administration

a. Assist in identifying sources for and contracting transportation services; and

b. Provide staffing to the MCC(s).

7. Tennessee Valley Authority

a. Participate in the coordination of transportation and navigation on Tennessee Valley Authority-managed waterways during a disaster; and

b. Assist in damage assessment.

8. U.S. Postal Service

Provide U.S. Postal Service vehicles not immediately required for mail delivery for transportation of relief resources, particularly for distribution in the disaster area.

VI. Terms and Definitions

A. Civil Transportation Capacity

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

B. Disaster Transportation Management System (DTMS)

A system for managing the acquisition of transportation assets and organizing the movement of resources into the disaster area. The DTMS includes the TPFDL and MCC.

C. DOT Crisis Coordinator

A senior-level official appointed by the Secretary of Transportation to manage the Department's emergency response operations during a situation having significant impact upon civil transportation capacity or the transportation infrastructure. For disasters, the Administrator, Research and Special Programs Administration, will normally serve as Crisis Coordinator.

D. Federally Arranged Transportation Support

The identification of available civil transportation capacity, and assistance in procuring such capacity, in support of Federal agencies, State and local governmental entities, and voluntary organizations unable to obtain required services through normal procurement channels.

E. Movement Coordination Center (MCC)

An ESF #1 element within the EST in Washington, DC, and in the field. When established, the MCC coordinates acquisition of transportation capacity and maintains visibility over validated transportation requests for assistance from inception through delivery to a mobilization center.

F. Regional Emergency Transportation Coordinator (RETCO)

A senior-level executive from a DOT operating administration who is designated by DOT Order to serve as the regional representative of the Secretary of Transportation for emergency transportation preparedness and response.

G. Time-Phased Force and Deployment List (TPFDL)

A tool to manage the rapid, early movement of Federal personnel, equipment, and critical relief supplies in response to an impending or actual disaster. TPFDLs improve efficiency of air and ground support, contributing to the effective functioning of personnel, logistics, and transportation management processes. Typical resources deployed and tracked include special units such as Urban Search and Rescue task forces and Disaster Medical Assistance Teams, as well as generators, plastic sheeting, and Meals-Ready-to-Eat. Detailed information is included about the cargo (quantity, dimensions, weight, points of departure/arrival, required delivery date, etc.) and passengers. Collectively, this information is known as the Time-Phased Force and Deployment Data (TPFDD).

This page intentionally left blank.

Emergency Support Function #2
Communications Annex

Primary Agency:	National Communications System
Support Agencies:	Department of Agriculture Department of Commerce Department of Defense Department of the Interior Federal Communications Commission Federal Emergency Management Agency General Services Administration

I. Introduction

A. Purpose

Emergency Support Function (ESF) #2 — Communications ensures the provision of Federal telecommunications support to Federal, State, and local response efforts following a presidentially declared major disaster, emergency, or extraordinary situation under the Federal Response Plan (FRP). This ESF supplements the provisions of the National Plan for Telecommunications Support in Non-Wartime Emergencies, hereafter referred to as the National Telecommunications Support Plan (NTSP).

B. Scope

ESF #2 coordinates Federal actions to be taken to provide the required national security and emergency preparedness (NS/EP) telecommunications support to Federal, State, and local disaster response elements. This ESF will coordinate the establishment of required temporary NS/EP telecommunications and the restoration of permanent telecommunications. Where appropriate, services may be furnished under provisions of the Telecommunications Service Priority (TSP) system. ESF #2 applies to all Federal departments and agencies that may require telecommunications services or whose telecommunications assets may be employed during a disaster response.

II. Policies

A. The NTSP serves as a basis for planning and use of national telecommunications assets and resources in support of the provisions of the Robert T. Stafford Disaster Relief and Emergency Assistance Act. The NTSP is issued by the Director, Office of Science and Technology Policy (OSTP), Executive Office of the President, in accordance with National Security Council policy direction, and is applicable to all Federal agencies.

B. The NTSP contains the authority for the National Communications System (NCS) to develop plans and coordinate and manage telecommunications support for Federal organizations in nonwartime emergencies. This authority is derived from Executive Order 12472, Assignment of National Security and Emergency Preparedness Telecommunications Functions, April 3, 1984.

C. In the letter of agreement between OSTP and the Federal Emergency Management Agency (FEMA) dated June 7, 1995, OSTP states that the Office of the Manager, NCS, will execute FRP primary agency functional responsibilities on its behalf.

III. Situation

A. Disaster Condition

1. A disaster condition may result from a significant natural disaster, nuclear accident, or any other incident that causes extensive damage and/or results in a high volume of requests from all levels of government authority for services required to save lives and alleviate human suffering. These authorities require accurate and timely information on which to base decisions and guide response actions. Concurrently, commercial telecommunications facilities may sustain widespread damage. At a time when the need for real-time electronically processed information is greatest, the capability to acquire it may be seriously restricted or nonexistent. In such situations, all surviving telecommunications assets of the various levels of government, augmented by extra-regional assets, will be needed immediately to ensure a proper response to the needs of victims of the event.

2. When activated, ESF #2 will coordinate and support NS/EP telecommunications requirements across the emergency continuum.

B. Planning Assumptions

1. Initially, State and local government officials focus on coordinating lifesaving activities concurrent with reestablishing control in the disaster area. Working with the telecommunications industry, these officials will restore and reconstruct telecommunications facilities as the situation permits.

2. Initial damage reports may be fragmented and provide an incomplete picture concerning the extent of damage to telecommunications facilities.

3. Weather and other environmental factors may restrict the ability of suppliers to deploy mobile or transportable telecommunications equipment into the affected area.

4. The affected region's ability to communicate with the rest of the country may be impaired. Some key individuals may be isolated from their regional offices and/or operational centers.

5. The type of disaster and the potential for related disasters will require the careful consideration of a site for establishing a Disaster Field Office (DFO) in the least vulnerable location supportable by available telecommunications facilities.

IV. Concept of Operations

A. General

During an emergency, the following guidelines will be observed to allow ESF #2 to meet its disaster response responsibilities:

1. Telecommunications management will occur on a bottom-up basis; decisions will be made at the lowest level, with only those issues requiring adjudication or additional resources being referred to the next higher management level. FEMA's Telecommunications Information Management and Control System (TIMACS) will be used for Stafford Act expenditures for telecommunications support.
2. Uniform emergency telecommunications management and operational plans, procedures, and handbooks will be used throughout the entire ESF #2 operating environment.
3. The Federal Coordinating Officer (FCO) has overall responsibility for the coordination of telecommunications support in the response area. When General Services Administration (GSA) assistance is requested during a disaster response, a Federal Emergency Communications Coordinator (FECC) is appointed. The FECC prioritizes conflicting requests and recommends solutions to the FCO.
4. FEMA controls its communications assets, i.e., Mobile Air Transportable Telecommunications System/Mobile Emergency Response Support (MATTS/MERS), in the disaster area but coordinates their use with the FECC. Other agencies that provide telecommunications assets in support of the disaster response also would control their organic assets, but would coordinate their use with the FECC.
5. The FECC will be the telecommunications industry's single Federal point of contact (POC) in the disaster area for Federal telecommunications requirements and will coordinate industry's response. The FECC will coordinate with the State telecommunications officer to ensure that Federal communications requirements do not conflict with State needs.

B. Organizational Structure (After a Presidentially Declared Disaster Response Requiring the Appointment of an FECC)

1. National-Level Response Structure

Response operations for a major disaster will normally begin when the FRP is implemented. FEMA will selectively activate ESFs based on the nature and scope of the event and the Federal resources required to support State and local responses.

National-level ESF #2 operations will normally commence at the same time that the ESF #2 position on the Emergency Support Team (EST) is activated under the FRP. The EST, which comprises representatives from all the ESFs, is located at FEMA Headquarters. Once notified of a disaster, the National Coordinating Center (NCC) for Telecommunications staff assesses anticipated/actual damage, identifies NS/EP service requirements, prioritizes requirements, monitors the developing situation/response, renders status reports,

and coordinates service provisioning and restoration as required. The NCC staff makes assessments based on reports from the FECC and NCC industry representatives, who coordinate with their parent company emergency operations centers (EOCs). The Manager, NCC, appoints ESF #2 representatives to the EST, providing for 24-hour coverage if required. If the Catastrophic Disaster Response Group (CDRG) is convened to address priority issues, the Deputy Manager, NCS, will represent ESF #2 at such meetings. The Manager, NCS, may dispatch an NCS Disaster Area Liaison Officer (DALO) to the disaster site to assist the FECC in coordinating national-level telecommunications support to the disaster response. The FECC also may request the deployment of an NCS DALO through the Manager, NCS. FEMA will dispatch an agency representative to the disaster area to assist in coordinating FEMA's telecommunications support.

2. Regional-Level Response Structure

For a major disaster, the FCO will request the appointment of an FECC. GSA will ensure that a qualified person capable of performing the required functions is identified (that person could be the GSA Regional Emergency Services Communications Planner (RECP) who serves as NCS Regional Manager for that region). The FECC will deploy to the scene of a presidentially declared disaster as the principal Federal telecommunications manager in the disaster area. The FECC will normally deploy to the affected State EOC as part of the Advance Element of the Emergency Response Team (ERT-A) and will assist ESF #7 — Resource Support in selecting a DFO site. FEMA will provide an agency representative to assist in coordinating FEMA's telecommunications support in the setup of the DFO. Federal disaster response operations are coordinated from the Regional Operations Center (ROC) until the DFO is operational, which is normally a period of 48 to 96 hours. The FECC deploys to the disaster area and works with FEMA communications personnel to establish telecommunications services for the DFO. At the DFO, the FECC is assisted by the Emergency Communications Staff (ECS), a group of government and industry telecommunications managers trained in emergency response and DFO operations. Conflicts over priorities and/or resources that cannot be resolved by the FCO and FECC will be passed to the CDRG and, if still not resolved, to the Joint Telecommunications Resources Board (JTRB).

C. Notification Procedures

1. Headquarters

The NCC is always available to assist industry and Federal response operations during day-to-day planning and coordination of national telecommunications support, including disaster response activities. If ESF #2 is activated, FEMA will notify the Manager, NCC, immediately. The Manager, NCC, will then alert all NCC personnel and assume national-level coordination of telecommunications assets as necessary. During nonduty hours, the National Communications System/Defense Information Systems Agency-Global Operations Security Center (NCS/DISA-GOSC) will alert the Manager, NCC, who will direct that an NCC Initial Response Team (IRT) be formed to assess the situation.

Immediately upon receipt of information about the disaster or emergency and upon notification of any FRP activation, the NCC will contact FEMA for information and guidance on the situation and ongoing response planning, and coordinate ESF #2 response preparations. If the Manager, NCC, determines that an FECC will be activated, the Manager will notify the appropriate GSA Regional Emergency Coordinator (REC) that FEMA has requested an FECC. The GSA REC will notify the appropriate GSA regional office to activate the FECC.

2. Region

The FECC will coordinate with the Manager, NCC, to request Individual Mobilization Augmentee (IMA) support.

D. Response Actions

1. Initial Actions

a. Immediately upon notification of a disaster, the Manager, NCC, will begin gathering damage assessment data from the NCC government and industry representatives. The Manager, NCC, in coordination with FEMA and GSA, will determine the appropriate level of response for national-level ESF #2 elements. The initial focus of the NCC will be to identify:

(1) Operational telecommunications assets available for use within the affected area;

(2) Telecommunications assets not within the affected area that may be brought physically or employed electronically to support the affected area; and

(3) Actual and planned actions of the commercial telecommunications companies toward recovery and reconstruction of their facilities.

b. The FECC will determine the ESF #2 regional and disaster area response requirements with the applicable FEMA Regional Director.

c. Until the FECC and the ECS are deployed and operational, FEMA communications staff will accumulate damage information obtained from the FEMA Regional Director, other Federal agencies, and industry sources. Additionally, FEMA communications staff may make initial estimates of the level of Federal telecommunications support that may be required. This information will be provided to the FECC upon arrival in the affected area. The FECC will also receive a status report on the telecommunications situation, Federal telecommunications assets that have arrived in the disaster area, telecommunications services provided, and any open telecommunications requests.

d. The ECS will be organized in the disaster area and expanded as necessary by drawing on experienced personnel from unaffected areas.

e. NCC personnel, in coordination with the FECC, will begin an inventory of Federal communications assets available to support the recovery mission. Federal

agencies with communications assets may be asked to contribute these assets to the response effort. The Manager, NCC, will be kept informed of these assets and their status.

f. Potential NCC actions include the following:

(1) Obtaining the location of the proposed DFO;

(2) Obtaining the latest weather report for the area, including present conditions, the 24-hour forecast, and the long-range forecast;

(3) Obtaining information from ESF #1 — Transportation about road, rail, and all transportation conditions in the area and whether they can be used to get mobile telecommunications systems into the area; and

(4) Determining from FEMA and/or ESF #7 the location of possible sources of secondary response facilities in the disaster area, e.g., staging areas, satellite DFOs.

g. The FECC, when activated, will assess the need for mobile and transportable telecommunications equipment. The FECC, through the NCC, may request NCS member organizations to identify assets for possible deployment.

h. The NCC, in coordination with the FECC, will assess the need for telecommunications industry support and ensure that such support is available as needed.

2. Continuing Actions

a. The FECC will prepare and process any required reports.

b. The representatives of the NCS member organizations that have been tasked to provide assets will confirm to the NCC that those assets have been prepared for movement to the disaster area, as and when needed, and will report when they have been deployed and have become operational.

c. The FECC, assisted by the ECS, will:

(1) Coordinate Federal telecommunications support to responding Federal agencies, State and local governments, and quasi-governmental and voluntary relief organizations as directed by the FCO;

(2) Recommend release of Federal telecommunications resources when they are no longer required; and

(3) Maintain a record for audit of all telecommunications support provided. NCS member organizations' procedures will be used to accomplish this audit.

d. The NCC will provide damage information to the EST ESF #2 representative and the FECC regularly, and to other Federal agencies upon request.

e. Requests for telecommunications support will come from many sources. The FECC will forward unresolved requests to the NCC. When the allocation of

telecommunications resources cannot be resolved by the NCC to the satisfaction of the parties involved, the issues will be presented to the CDRG and then, if necessary, to the JTRB for resolution.

f. The NCC develops and promulgates information collection guidelines and procedures to enhance assessment, allocation, and coordination of government and industry telecommunications assets.

V. Responsibilities

A. Primary Agency: National Communications System

1. The Manager, NCS, will ensure the provision of adequate telecommunications support to Federal response operations. The Manager, NCS, through the NCC, will provide information and assistance to the JTRB as required.

2. The Manager, NCS, is responsible for:

   a. Supporting the JTRB as required in accordance with standard operating procedures issued by the Director, OSTP;

   b. Ensuring that all information regarding potential and/or actual emergency situations with significant telecommunications implications is brought to the attention of the Director, OSTP;

   c. Coordinating response activities with FEMA, GSA, and other JTRB member organizations;

   d. Monitoring the status of crucial situations that have the potential for developing into a major disaster, emergency, or extraordinary situation, and those that may require emergency telecommunications support;

   e. Coordinating with ESF #12 — Energy regarding telecommunications industry requests for support under the Electric Service Priority (ESP) initiative, emergency fuel resupply, and safe access for telecommunications work crews into disaster areas;

   f. Supporting the ESP initiative by providing updated data to and from the Department of Energy and the participating telecommunications companies;

   g. Monitoring the recovery efforts and, as required, coordinating the provision of telecommunications needed by the Federal Government;

   h. Providing situation status to the JTRB as required;

   i. Appointing an NCS Disaster Area Liaison Officer to provide on-site assistance to the FECC in coordinating national-level telecommunications support in the disaster area; and

   j. Activating IMAs to support disaster responses at the DFO, regional, and national levels.

3. The Manager, NCC, is responsible for:

   a. Monitoring the status of crucial situations that have the potential for developing into a major disaster, emergency, or extraordinary situation to determine that adequate NS/EP telecommunications services are being provided to support response operations;

   b. Assessing the impact on existing Federal Government NS/EP telecommunications services;

   c. Coordinating the restoration and/or rerouting of existing Federal Government NS/EP telecommunications services and the provisioning of new NS/EP telecommunications services;

   d. Coordinating with telecommunications service providers and prioritizing requirements as necessary when providers are unable to satisfy all telecommunications service requirements, when there are conflicts between multiple FECCs, or when the allocation of available resources cannot be fully accomplished at the field level;

   e. Coordinating, when requested by the FECC, with NCS member organizations to obtain additional telecommunications specialists to augment the ECS;

   f. Coordinating with Federal agencies those special telecommunications industry requests for assistance that support NS/EP activities, including support under the ESP initiative, emergency fuel resupply, and safe access for telecommunications work crews into disaster areas; and

   g. Coordinating with appropriate government and industry representatives in support of FECC requests to meet user requirements for cellular phone assets.

B. Support Agencies

1. ESF #2 support agency representatives will be aware of their parent organizations' capabilities to provide mobile or transportable resources for telecommunications activities.

2. Any agency having substantial communications assets in the disaster area should have representation on the ECS.

3. Agencies will coordinate required connection to commercial or government telecommunications resources through the FECC.

4. The agencies listed below provide the indicated support to ESF #2 efforts under the FRP.

   a. Department of Agriculture, Forest Service

      (1) Provide radio communications systems for support of firefighters, law enforcement officers, and disaster response operations;

      (2) Provide engineers, technical personnel, and liaison staff to assist the ECS and to maintain the National Interagency Radio Support systems;

(3) Provide National Interagency Radio Support systems for use by damage reconnaissance teams to report information from the disaster area to the DFO, and such other applications as determined by the radio communications coordinator;

(4) Provide a communications officer to accompany radio systems for the purpose of user training and operator maintenance indoctrination; and

(5) Provide additional radio systems required for the establishment of a DFO radio net.

b. Department of Commerce

(1) National Telecommunications and Information Administration

(a) Develop plans and procedures concerning radio spectrum assignments, priorities, and allocations for use by Federal agencies;

(b) Develop, maintain, and publish policy, plans, and procedures for the control and assignment of radio frequencies, including the authority to amend, modify, or revoke such assignments, in those parts of the electromagnetic spectrum allocated to the Federal Government; and

(c) Maintain and publish the Emergency Readiness Plan for Use of the Radio Spectrum.

(2) National Oceanic and Atmospheric Administration, National Weather Service

Provide public dissemination of critical pre- and postevent information over the all-hazards National Oceanic and Atmospheric Administration Weather Radio (NWR) system, the NOAA Weather Wire Service, and the Emergency Managers' Weather Information Network (EMWIN).

c. Department of Defense

Provide assistance in civil emergencies in accordance with national policies, consistent with defense priorities as set forth in the Department of Defense (DOD) Directive 3025.1, Military Support to Civil Authorities. The Secretary of Defense has designated the Secretary of the Army as the executive agent for DOD support to civil emergencies.

d. Department of the Interior

Provide radio and radio-telephone systems from assets not required to meet Department of the Interior emergency missions.

e. Federal Communications Commission

(1) Review the policies, plans, and procedures that are developed by all entities licensed or regulated by the Federal Communications Commission (FCC) to provide NS/EP telecommunications services to ensure that such policies, plans, and procedures are consistent with the public interest, convenience, and necessity; and

(2) Perform such functions as required by law with respect to all entities licensed or regulated by the FCC, including (but not limited to) the extension, discontinuance, or reduction of common-carrier facilities or services; the control of common-carrier rates, charges, practices, and classifications; the construction authorization, activation, deactivation, or closing of radio stations, services, and facilities; the assignment of radio frequencies to FCC licensees; the investigation of violations of pertinent law and regulation; and the initiation of appropriate enforcement actions.

f. Federal Emergency Management Agency

(1) Provide a representative(s) to serve on the FECC's staff to coordinate the employment of FEMA's telecommunications assets, including MATTS/MERS, in the disaster area; coordinate FEMA requests for telephone service and connectivity; and provide expertise on MATTS/MERS and FEMA networks;

(2) Coordinate the establishment of telecommunications support in the DFO with the FECC;

(3) Install computers and local area networks at the DFO as required;

(4) Provide radio equipment and other organic telecommunications support;

(5) Provide communications support to State and local officials to assist in disseminating warnings to the populace concerning risks and hazards;

(6) Provide frequency management and site engineering expertise to the ECS;

(7) Provide representation on the ECS and coordinate FEMA resources and TSP requests with the FECC; and

(8) Provide video teleconference expertise to the ECS.

g. General Services Administration

(1) Each Regional Administrator, GSA, will ensure that a GSA RECP who will serve as an NCS Regional Manager (NCSRM) and FECC, is identified for each of the 10 standard Federal regions. The Regional Administrator will authorize the GSA RECP/NCSRM to accept guidance from the FEMA Regional Director during the predeployment phase of a telecommunications emergency. National-level guidance will be provided by the GSA Federal Telecommunications Service (FTS) Emergency Communications Coordinator. The Regional Administrator will authorize the GSA RECP/NCSRM or designated alternate(s) to perform the functions of the FECC upon request by the FCO or senior Federal official.

(2) The GSA RECP/NCSRM will prepare and maintain a Regional Support Plan for each designated standard Federal region, coordinating plan development with counterpart GSA RECP/NCSRMs in contiguous regions. The GSA RECP/NCSRM will supervise the training of potential FECCs within the assigned region.

(3) When requested, the FECC will deploy to the scene of a presidentially declared major disaster, emergency, or extraordinary situation to survey the status of telecommunications and to determine residual capabilities and the extent of damage within the affected area. The FECC will coordinate with other Federal agencies to determine their emergency telecommunications service requirements.

(4) When activated, the FECC will:

(a) Accumulate damage information obtained from the FEMA Regional Director, the NCC, other Federal agencies, and industry sources and conduct telecommunications status evaluations;

(b) Advise the FCO on all telecommunications matters;

(c) Act as the single government POC in the disaster area for industry, for all telecommunications requests and actions;

(d) Assess the need for mobile or transportable equipment;

(e) Release Federal telecommunications resources as soon as commercial carrier services can support the response mission;

(f) Coordinate with Federal, State, and local organizations, and the major voluntary relief organizations as well as other ESFs involved with disaster recovery, to ascertain their telecommunications requirements;

(g) Ensure that required services are provided in support of the Federal disaster response and recovery effort;

(h) Coordinate the distribution of cellular phone assets by appropriate government and industry representatives in support of user requirements;

(i) Assemble and lead the ECS;

(j) Maintain an audit trail of all telecommunications support provided;

(k) Prioritize telecommunications requirements;

(l) Ensure that an ESF #2 representative is deployed to support the ROC;

(m) Coordinate frequency management for the disaster area to include frequencies used by deployed military assets;

(n) Coordinate the use of military telecommunications assets;

(o) Coordinate TSP requests;

(p) Ensure that ESF #2 representatives are provided to support damage assessment personnel;

(q) Provide an ESF #2 representative to support the ERT-A;

(r) Coordinate telecommunications support to the disaster mobilization center as necessary; and

(s) Prepare and process any required reports.

h. Other Federal Agencies

(1) NCS member organizations will be prepared to assist the Manager, NCS, in the deployment and use of agency-owned/leased or otherwise unique telecommunications assets to support the response effort.

(2) All other Federal agencies will:

(a) Use organizational resources to meet their mission requirements before requesting that the FECC obtain emergency telecommunications support;

(b) Notify the FECC promptly of all telecommunications requirements and available assets. This will eliminate the possibility of service duplications and ensure prompt provision of needed services and facilities to the proper user;

(c) Coordinate with the FECC when telecommunications support (other than that provided or already coordinated through the FECC) has been requested by a representative of an organization at a disaster location;

(d) Coordinate any requests for commercial or government telecommunications resources through the FECC;

(e) Coordinate with the NCC as necessary for any required national-level telecommunications support;

(f) Notify the FECC promptly when their telecommunications resources are to be withdrawn or discontinued; and

(g) Notify the FECC when telecommunications resources provided by the FECC are no longer required.

VI. References

A. Executive Order 12472, Assignment of National Security and Emergency Preparedness Telecommunications Functions, April 3, 1984.

B. National Plan for Telecommunications Support in Non-Wartime Emergencies, Office of Science and Technology Policy, January 1992.

C. Department of Defense Directive 3025.1, Military Support to Civil Authorities, January 15, 1993.

D. Office of Science and Technology Policy Letter of Agreement with the Federal Emergency Management Agency, June 7, 1995.

Emergency Support Function #3
Public Works and Engineering Annex

Primary Agency:	Department of Defense, U.S. Army Corps of Engineers
Support Agencies:	Department of Agriculture Department of Commerce Department of Health and Human Services Department of the Interior Department of Labor Department of Veterans Affairs Environmental Protection Agency Tennessee Valley Authority

I. Introduction

A. Purpose

Emergency Support Function (ESF) #3 — Public Works and Engineering provides technical advice and evaluation, engineering services, contracting for construction management and inspection, contracting for the emergency repair of water and wastewater treatment facilities, potable water and ice, emergency power, and real estate support to assist the State(s) in meeting goals related to lifesaving and life-sustaining actions, damage mitigation, and recovery activities following a major disaster or emergency.

B. Scope

Activities within the scope of ESF #3 include:

1. Participation in pre-disaster activities, such as pre-positioning assessment teams and contractors, and deployment of other advance elements;
2. Participation in needs/damage assessments immediately following a disaster;
3. Emergency clearance of debris to enable reconnaissance of the damaged areas and passage of emergency personnel and equipment for lifesaving, property protection, and health and safety;
4. Removal and disposal management of debris from public property;
5. Provision of expedient emergency access routes, which includes repairs to damaged streets, bridges, ports, waterways, airfields, and other facilities necessary for emergency access to disaster victims;
6. Emergency restoration of critical public facilities, including the temporary restoration of water supplies and wastewater treatment systems;

7. Emergency demolition or stabilization of damaged structures and facilities designated by State or local governments as immediate hazards to public health and safety, or as necessary to facilitate lifesaving operations (temporary protective measures to abate immediate hazards to the public for health and safety reasons until demolition is accomplished);
8. Emergency contracting to support public health and safety, such as providing for potable water, ice, power, or temporary housing;
9. Technical assistance, including inspection of private residential structures and commercial structures;
10. Support to other ESFs as outlined in the Federal Response Plan (FRP); and
11. Provision of emergency power to public facilities.

II. Policies

A. The Director of Military Support (DOMS) is the responsible national-level Department of Defense (DOD) office for military support to civilian authorities. DOD has responsibility for ESF #3 and has designated the U.S. Army Corps of Engineers (USACE) as its operating agent for ESF #3 planning, preparedness, response, and recovery.

B. USACE will develop work priorities in cooperation with the State government and in coordination with the Federal Coordinating Officer (FCO).

C. A USACE division(s) will appoint an overall mission coordinator for all ESF #3 response and recovery activities at the Regional Operations Center (ROC) and Disaster Field Office (DFO) as appropriate.

III. Situation

A. Disaster Condition

In a major disaster or emergency, response and recovery operations may be beyond the State and local response capabilities. Structures may be destroyed or severely weakened. Homes, public buildings, bridges, and other facilities may have to be reinforced or demolished to ensure safety. Debris may make streets and highways impassable. Public utilities may be damaged and be partially or fully inoperable. A major disaster may affect the lives of many State and local response personnel and their facilities, and prevent them from performing their prescribed emergency duties. Similarly, equipment in the immediate disaster area may be damaged or inaccessible. Sufficient resources may not be available to State and local agencies to meet emergency requirements. Federal assistance may be required to identify and deploy resources from outside the affected area to ensure a timely, coordinated effective response.

B. Planning Assumptions

1. Access to the disaster areas will be dependent upon the reestablishment of ground and water routes. In many locations, debris clearance and emergency road repairs will be given top priority to support immediate lifesaving emergency response activities.
2. Early damage assessments will be general, incomplete, and may be inaccurate. Rapid assessment of the disaster area is required to determine critical response times and potential work loads.
3. To minimize threats to public health, emergency environmental waivers and legal clearances will be needed to dispose of emergency debris and materials from demolition activities. Under Federal regulations, local authorities are responsible for obtaining required waivers and clearances. Federal agencies are responsible for complying with appropriate Federal environmental and historic preservation statutes.
4. Significant numbers of personnel having engineering and construction skills and construction equipment and materials will be required from outside the disaster area.
5. Primary agencies (including USACE) and support agencies will perform tasks under their own authorities, as applicable, in addition to missions received under the authority of the FRP.
6. Previously inspected structures will require reevaluation if aftershocks occur following an earthquake.

IV. Concept of Operations

A. General

ESF #3 support will supplement State and local emergency response actions. Close coordination will be maintained with Federal, State, and local officials to determine potential taskings and to track the status of response activities. The priority of taskings will be determined jointly between the Federal and State officials. The ESF #3 team will provide damage information to ESF #5 — Information and Planning for overall damage assessment, and inform the Emergency Response Team (ERT) Operations Section of the damage situation and ESF activities. Support agency representatives will collocate with USACE field personnel to coordinate support with their agencies as necessary.

B. Organization

1. National-Level Response Structure

a. Catastrophic Disaster Response Group

The USACE representative to the Catastrophic Disaster Response Group (CDRG) is the Chief of the Operations Division of the Directorate of Civil Works. The alternate representative is the Chief, Civil Emergency Management Branch, Operations Division, Directorate of Civil Works.

b. Emergency Support Team

The ESF #3 representative(s) to the Emergency Support Team (EST) will be responsible for coordinating mission assignments and resources to support disaster operations. The USACE representative(s) to the EST will be assigned by the Civil Emergency Management Branch, Operations Division, Directorate of Civil Works.

c. Agency Operations Elements

Headquarters USACE (HQUSACE) will operate from the HQUSACE Emergency Operations Center (EOC). HQUSACE may request support agency liaison representatives to report to HQUSACE EOC if the disaster situation warrants.

2. Regional-Level Response Structure

a. Regional Operations Center

A USACE division will provide the necessary representation at the ROC. These representative(s) will remain in the ROC until deactivated or released by the ROC Director.

b. Advance Element of the Emergency Response Team

The USACE division having responsibility for the State in which the disaster occurs will ensure that necessary representatives are immediately provided for the formation of the Advance Element of the ERT (ERT-A). The damage assessment representative will be an infrastructure specialist assigned from the division.

c. Disaster Field Office ESF #3 Cell

A supplemental ESF #3 component to the ERT-A will deploy to the DFO and evolve into the ESF #3 cell after the DFO is established. Among the ESF #3 roles are preparing statements of work, cost estimates, and estimated completion dates for mission assignments; tracking and executing mission assignments; maintaining cognizance of all other ERT activities; assessing information; determining resource requirements; setting priorities; disseminating information; and taking other response and recovery actions as required. In addition to assigning the representatives from the ERT-A to the full ERT, the designated USACE division also will provide necessary staff for both response and recovery operations.

d. Defense Coordinating Officer

DOD/DOMS will provide a Defense Coordinating Officer (DCO) to serve as the single point of contact to the FCO and ESF representatives for all requests for military assistance other than that provided by ESF #3. USACE will support the DCO and deployed joint forces as requested.

e. Response and Recovery Operations

USACE districts may be required to establish field offices (Emergency Response and Recovery Offices) to support assignments and missions. Divisions and districts will carry out mission assignments based on Federal Emergency Management Agency (FEMA) guidance and within established procedures.

C. Notification

1. Headquarters

The FEMA National Emergency Coordination Center will notify the Army Operations Center (AOC) of an emergency situation. The AOC will then immediately notify the CDRG members from USACE and DOMS. The AOC and HQUSACE EOC will exchange telephonic notifications to ensure that each is aware of the situation. The EOC will notify ESF #3 EST members and subordinate USACE commands.

2. Region

Upon occurrence of a major disaster and/or notification of FRP activation, HQUSACE will designate the lead division(s) and instruct the division commander to implement the local notification plans. Concurrently, the responsible FEMA region will request support from the pre-designated USACE division commander.

D. Response Actions

1. Initial Actions

a. HQUSACE

(1) Send EST representatives to FEMA Headquarters as required;

(2) Provide CDRG representation as needed;

(3) Activate the EOC and begin notification procedures;

(4) Establish communications with FEMA Headquarters, DOD/DOMS through the AOC, and USACE subordinate commands;

(5) Provide liaison to FEMA Headquarters to coordinate congressional relations activities with FEMA's Congressional Relations Officer; and

(6) Provide public affairs liaison to the FEMA Headquarters Joint Information Center.

b. Regions (Division and District)

(1) Designate personnel to staff the ROC, ERT-A, and ESF #3 cell in accordance with the FRP;

(2) Activate the EOC and identify facilities for USACE field offices;

(3) Notify support agencies' regional offices of ESF #3 activation;

(4) Gather essential elements of information and report to the ROC, HQUSACE, DFO, and EOC; and

(5) Identify requirements for remote sensing and imagery to ESF #5.

2. Continuing Actions

a. HQUSACE

(1) Continue EOC operations; and

(2) Ensure that proper and adequate coordination is in effect at all levels.

b. Regions (Division and District)

(1) Support FEMA and State emergency agencies as required; and

(2) Work with State and local governments to maximize the use of available regional assets and to identify resources required from outside the region.

V. Responsibilities

A. Primary Agency

1. Army Operations Center

a. Notify HQUSACE, DOMS, and CDRG member directly if possible; and

b. Notify HQUSACE EOC of FRP activation.

2. HQUSACE

a. Review the FRP annually. Submit comments as appropriate and revise this annex as necessary;

b. Develop additional USACE guidance as required to execute assigned missions;

c. Participate in training and exercises to include those of support agencies; and

d. Conduct periodic meetings and workshops with support agencies at the national level to maintain capabilities, and to plan for and prepare to respond to a disaster in the event of activation.

B. Support Agencies

1. Pre-Disaster Actions

a. Provide HQUSACE with points of contact at the national level for coordinating plans and responses; and

b. Designate representatives at the regional level.

2. Specific Agency Responsibilities

a. Department of Agriculture

(1) Provide engineering and contracting/procurement personnel and equipment to assist in emergency removal of debris, demolition, repair of roads and bridges, temporary repair of essential public facilities, and water supply. The Forest Service will be the regional contact for this support.

(2) Provide technical personnel to evaluate damage to water control facilities. The Natural Resources Conservation Service will be the regional contact for this support.

b. Department of Commerce

Provide direct technical support and advice on procurement of external consulting services for assessing the structural and fire safety of damaged buildings and lifelines (public works and utilities). The Interagency Committee on Seismic Safety in Construction, Building and Fire Research Laboratory, National Institute of Standards and Technology, will be the contact.

c. Department of Health and Human Services

(1) Supply engineering and environmental health personnel to assist in assessing the status of wastewater and solid-waste facilities;

(2) Provide guidance related to health problems associated with hazardous materials; and

(3) Assist in determining the suitability for human consumption of water from local sources.

d. Department of the Interior

(1) Provide engineering support to assist in evaluating damage to water control systems, such as dams, levees, and water delivery facilities and structures;

(2) Provide technical assistance in contract management, contracting, procurement, construction inspection, and environmental and archeological assessments; and

(3) Name a point of contact (in the Bureau of Reclamation) for all Department of the Interior support for ESF #3.

e. Department of Labor

Provide supplemental assistance for debris removal or demolition activities performed by ESF #3. The Occupational Safety and Health Administration will be the regional contact for this support.

f. Department of Veterans Affairs

Provide engineering personnel and support, including design estimating and construction supervision for repair, reconstruction, and restoration of eligible facilities.

g. Environmental Protection Agency

(1) Assist, in conjunction with the Department of Health and Human Services, in determining the suitability for human consumption of water from local sources and in identifying hazardous materials having the potential to affect drinking water supplies;

(2) Assist in locating disposal sites for debris clearance activities;

(3) Identify locations and provide safety guidance for areas affected by hazardous materials. Ensure the protection and cleanup of these areas; and

(4) Assist in identifying water and wastewater needs.

h. Tennessee Valley Authority

Provide personnel to assist in damage assessment, structural inspections, debris clearance monitoring, and restoration of facilities in general.

Emergency Support Function #4
Firefighting Annex

Primary Agency:	Department of Agriculture, Forest Service
Support Agencies:	Department of Commerce Department of Defense Department of the Interior Environmental Protection Agency Federal Emergency Management Agency

I. Introduction

A. Purpose

Emergency Support Function (ESF) #4 — Firefighting detects and suppresses wildland, rural, and urban fires resulting from, or occurring coincidentally with, a major disaster or emergency requiring Federal response assistance.

B. Scope

ESF #4 manages and coordinates firefighting activities, including the detection and suppression of fires on Federal lands, and provides personnel, equipment, and supplies in support of State and local agencies involved in rural and urban firefighting operations.

II. Policies

A. Processes and procedures established in the National Interagency Mobilization Guide will be followed in responding to a major disaster or emergency under the Federal Response Plan (FRP).

B. National support will be accomplished through the National Interagency Coordination Center (NICC) located at the National Interagency Fire Center (NIFC) at Boise, ID.

C. Coordination with and support of State and local fire suppression organizations will be accomplished through the State Forester, in cooperation with the State Fire Marshal, State emergency management agency, or other appropriate State agency operating under the Incident Command System (ICS).

D. Priority will be given to saving lives and protecting property, in that order.

E. The primary agency for this ESF will be the Department of Agriculture (USDA), Forest Service, at the national level. For operations that occur in the State of Alaska, operational lead for firefighting response will be the Department of the Interior (DOI), Bureau of Land Management.

III. Situation

A. Disaster Condition

1. The management of a large firefighting operation is complex, often involving thousands of resources and many different agencies and jurisdictions. Fire resulting from, or independent of but occurring coincidentally with, a major disaster or emergency may place extraordinary demands on available resources and logistics support systems.

2. A major disaster or emergency may result in many urban, rural, and wildland fires. The damage potential from fires in urban areas during and after a major disaster (such as an earthquake) exceeds that of all other causes. Numerous fires may have the potential to spread rapidly, cause extensive damage, and pose a serious threat to life and property. Urban fire departments not incapacitated by an earthquake may be totally committed to fires in urban areas. Normally available firefighting resources may be difficult to obtain and utilize because of massive disruption of communication, transportation, utility, and water systems.

B. Planning Assumptions

1. Many urban, rural, and wildland fires may result from or occur coincidentally with an earthquake or as the result of another significant event. Large, damaging fires may be common.

2. At the time of a major disaster or emergency, there may be wildland fires burning elsewhere in the United States. These fires will draw upon the same resources (air, crews, overhead, engines, or other tactical and support resources) that would be needed to support firefighting and other emergency operations. It must be assumed that some firefighting resources will become scarce, resulting in the disaster-related firefighting operations competing for resources through established resource ordering channels.

3. Telephone communications may be interrupted, making radio communications necessary. Early ordering of radio starter systems from NICC is a high priority.

4. Wheeled-vehicle access may be hampered by bridge failures, landslides, etc., making conventional travel to the fire location extremely difficult or impossible. Aerial attack by airtankers, helicopters, and smoke jumpers may be essential in these situations. Helicopter availability may be scarce, and damage to airports or runways will cause congestion at usable airports.

5. Agencies that commonly support large fire suppression operations, including the military and General Services Administration (GSA), may receive urgent requests from non-fire-related agencies for personnel, equipment, and supplies. Many of the resources commonly available for use in fighting large wildland fires will be scarce or unavailable.

6. Wildland firefighting techniques may have to be applied to rural and urban fire situations, particularly where water systems are inoperative. Aerial delivery of fire retardants or water for structural protection may be essential. In the case of multiple fires, firebreaks may be cleared and burning-out and backfiring techniques may be used.
7. Efficient and effective mutual aid among the various Federal, State, and local fire suppression agencies requires the use of ICS together with compatible firefighting equipment and communications.

IV. Concept of Operations

A. General

1. ESF #4 will manage and coordinate Federal firefighting activities. This will be accomplished by mobilizing firefighting resources in support of State and local wildland, rural, and urban firefighting agencies. ESF #4 will use established firefighting and support organizations, processes, and procedures. Responsibility for situation assessment and determination of resource needs lies primarily with local Incident Commanders in coordination with the Emergency Response Team (ERT) at the Disaster Field Office (DFO).
2. Requests for firefighting assistance and resources will be transmitted from the DFO to the appropriate Geographic Area Coordination Center. For resources beyond those available within the geographic area, the requests will be sent to NICC at Boise, ID. NICC will contact the National Fire Suppression Liaison Officer in the event of national-level shortages or unavailability of needed resources.
3. Resolution of such shortages will be pursued by the Emergency Support Team (EST) and, when necessary, by the Catastrophic Disaster Response Group (CDRG). Actual firefighting operations will be managed under ICS. Situation and damage assessment information will be transmitted through established fire suppression intelligence channels and directly between the national-level and regional-level ESFs according to ESF #5 — Information and Planning procedures.

B. Organization

ESF #4 has a parallel structure at the national and regional levels.

1. National-Level Response Support Structure

a. The National Director for Fire and Aviation Management, Forest Service, will represent the USDA on the CDRG.

b. National ESF #4 activities will operate under the direction of the Assistant Director for Operations, Fire and Aviation Management, Forest Service. Assistance will be provided as necessary by the Forest Service and DOI Fire Directors at NIFC.

c. The Disaster and Emergency Operation Specialist will serve as the National Fire Suppression Liaison Officer. The National Fire Suppression Liaison Officer or a representative will be located at Federal Emergency Management Agency (FEMA) Headquarters during a disaster when ESF #4 is activated. This position is a member of the EST and is the link to the National Director for Fire and Aviation Management at Forest Service Headquarters.

d. The national ESF #4 will provide broad policy and coordination support to the CDRG and, based on recommended FEMA requirements, may be operational on a 24-hour basis. Support agencies will have representatives available by telephone or pager on a 24-hour basis when necessary.

e. National logistics support and interregional mobilization of resources will be provided by NICC.

2. Regional-Level Response Structure

Federal firefighting response support is coordinated by the Regional/Area Fire Coordinator provided by the Forest Service Regional/Area Office. The Regional/Area Fire Coordinator has responsibility for establishing and maintaining coordination with the National Fire Suppression Liaison Officer, Forest Service Region, regional support agencies, and ERT. ESF #4 will be represented by a Fire Suppression Support Coordinator at the DFO. Regional firefighting response and logistics support will be provided by Geographic Area Coordination Centers and NICC in accordance with established Mobilization Guides. Support agencies will have representatives available by telephone or pager on a 24-hour basis for the duration necessary.

C. Notification

1. Upon notification by FEMA of a potential or actual event requiring response, the National Fire Suppression Liaison Officer, Forest Service, will notify all other ESF #4 members by telephone or pager.

2. The Regional/Area Fire Coordinators and NICC also will be notified by telephone or pager.

D. Response Actions

1. Initial Actions

The National Fire Suppression Liaison Officer or representative will:

a. Locate at FEMA Headquarters within 2 hours of notification;

b. Establish communication links with FEMA, national primary and support agencies, USDA Emergency Operations Center, National Director for Fire and Aviation Management at Forest Service Headquarters, and Forest Service Director at NIFC;

c. Establish communication links with the Regional/Area Fire Coordinators; and

d. Obtain an initial fire situation and damage assessment through established intelligence procedures.

2. Continuing Actions

The National Fire Suppression Liaison Officer or representative will:

a. Obtain, maintain, and provide fire situation and damage assessment information through established intelligence procedures;

b. Determine and resolve, as necessary, issues regarding resource shortages and slow processing, interagency conflicts, and policy matters involving the CDRG;

c. Maintain close coordination with the CDRG, support agencies, NICC, and DFO; and

d. Maintain a complete log of actions taken, resource orders, records, and reports.

V. Responsibilities

A. Primary Agency: Department of Agriculture, Forest Service

1. Provide qualified representatives to serve as National Fire Suppression Liaison Officer, Regional/Area Fire Coordinator, and Fire Suppression Support Coordinator at the DFO;
2. Task support agencies as necessary to accomplish ESF #4 support responsibilities;
3. Provide logistics support through the Geographic Area Coordination Center and/or NICC for mobilizing resources for firefighting;
4. Assume full responsibility for suppression of wildfires burning or threatening National Forest system lands;
5. Provide and coordinate firefighting assistance to other Federal land management, State forestry, and local fire organizations as requested under the terms of existing agreements and the FRP;
6. Arrange for direct liaison with fire chiefs in the designated area to coordinate requests for firefighting assistance in structural or industrial fire protection operations; and
7. Provide information to ESF #5 as assessments of fire-caused damages are obtained.

B. Support Agencies

1. Department of Commerce

a. Provide fire/weather forecasting as needed from NIFC at Boise, ID, or from a nearby National Weather Service Forecast Office under the terms of existing interagency agreements;

b. Provide urban and industrial hazard analysis support through the Building and Fire Research Laboratory of the National Institute of Standards and Technology; and

c. Provide fire/weather support under the terms of the National Agreement for Meteorological Services in Support of Agencies with Land Management and Fire Protection Responsibilities.

2. Department of Defense

a. Assume full responsibility for firefighting activities on U.S. military installations;

b. Support firefighting operations on nonmilitary lands with personnel, equipment, and supplies under the terms of the existing interagency agreement, to include the arrangement of liaisons as required; and

c. Provide contracting services through the U.S. Army Corps of Engineers to urban and rural firefighting forces to obtain heavy equipment and/or demolition services as needed to suppress disaster-related fires.

3. Department of the Interior

a. Assume full responsibility for fighting wildfires burning on lands within its jurisdiction;

b. Assist the Forest Service in managing and coordinating firefighting operations; and

c. Provide firefighting assistance to other Federal land management organizations as requested under the terms of existing agreements and the FRP.

4. Environmental Protection Agency

Provide technical assistance and advice in the event of fires involving hazardous materials.

5. Federal Emergency Management Agency, U.S. Fire Administration

Provide advice and assistance relating to structural firefighting and establish communications with State Fire Marshals in adjoining States.

C. Other Organizations

State forestry organizations in most States are responsible for wildland firefighting on non-Federal lands. States may assist other States in firefighting operations and may assist Federal agencies through agreement.

VI. Reference

National Interagency Mobilization Guide available from NICC.

VII. Terms and Definitions

A. Fire Suppression Support Coordinator

The person representing ESF #4 at the DFO.

B. Incident Command System (ICS)

An on-site incident management system applicable to all types of emergencies. Includes standard organizational structure, agency qualifications, training requirements, procedures, and terminology enabling participating agencies to function together effectively and efficiently.

C. National Fire Suppression Liaison Officer

The Disaster and Emergency Operations Specialist, Fire and Aviation Management, Forest Service. This person is a member of the EST operating at the national level. Primary responsibility is to provide liaison among the EST, the National Director of Fire and Aviation Management, Forest Service Headquarters, and other support agencies.

D. National Interagency Coordination Center (NICC)

The organization responsible for coordination of national emergency response for wildland fire suppression, located at the National Interagency Fire Center in Boise, ID.

E. Regional/Area Fire Coordinator

The person primarily responsible for operation of ESF #4 at the regional level.

This page intentionally left blank.

Emergency Support Function #5
Information and Planning Annex

Primary Agency:	Federal Emergency Management Agency
Support Agencies:	Department of Agriculture Department of Commerce Department of Defense Department of Education Department of Energy Department of Health and Human Services Department of the Interior Department of Justice Department of Transportation Department of the Treasury American Red Cross Environmental Protection Agency General Services Administration National Aeronautics and Space Administration National Communications System Nuclear Regulatory Commission Small Business Administration
Support Organizations:	Civil Air Patrol Voluntary Organizations

I. Introduction

A. Purpose

Emergency Support Function (ESF) #5 — Information and Planning collects, analyzes, processes, and disseminates information about a potential or actual disaster or emergency to facilitate the overall activities of the Federal Government in providing assistance to one or more affected States. Fulfilling this mission supports planning and decision making at both the field/regional operations and headquarters levels.

B. Scope

During disaster operations, ESF #5 becomes the Information and Planning Section of the Regional Operations Center (ROC) or the Emergency Response Team (ERT) at the Disaster Field Office (DFO), as well as the Emergency Support Team (EST) at Federal Emergency Management Agency (FEMA) Headquarters.

II. Policies

The Information and Planning Section operates at all levels of disaster response, whether at the disaster site itself, the region, or FEMA Headquarters. It:

A. Activates as needed in anticipation of, or immediately following, a disaster or emergency;

B. Performs as a staff-level function in support of Federal leadership at the field, regional, and headquarters levels;

C. Processes information that is common to one or more operational elements and that contributes to the overall perspective of the emergency;

D. Coordinates activities of on-the-ground assessment personnel;

E. Serves as site of overall coordination of situation assessment operations;

F. Tasks support agencies to provide technical expertise and information necessary to develop accurate assessment and analysis of a developing or ongoing situation;

G. Contacts other ERT or EST organizational elements to provide daily information updates for reporting and analysis requirements of ESF #5. Other ERT and EST elements are responsible for information processing and information displays unique to their own operations;

H. Collocates with the State Information and Planning Section when feasible for ERT operations; and

I. Executes, at the ERT and EST locations, procedures stipulated in the current version of the Information and Planning Section Standard Operating Procedures.

III. Situation

A. Disaster Condition

A disaster or other significant event will be of such severity and magnitude as to require Federal response and recovery assistance to supplement State and local efforts to save lives and protect property. Information and Planning (ESF #5) will support initial assessment of developing situations and will provide timely and appropriate information to support Federal emergency managers in determining, with the appropriate State(s), whether Federal assistance will be required.

B. Planning Assumptions

1. In a disaster situation, there is a need for a central collection point in the ROC, ERT, and EST, where situation information can be compiled, analyzed, and prepared for use by decision makers.

2. The State is the most immediate source of vital information for the ROC staff and/or the ERT regarding damage and initial response needs. Regional data, using State and local government sources and Federal agency inputs, become the primary information sources for the EST.

3. There is an immediate and continuous demand by officials involved in response and recovery efforts for information about the developing or ongoing disaster or emergency situation.
4. There may be a need to rapidly deploy field observers or assessment personnel to the disaster area to collect additional critical information about resource requirements for victims or to conduct an immediate situation assessment to determine initial Federal response requirements.
5. Information and Planning Section staff, deployed as part of the Advance Element of the ERT (ERT-A), needs to operate without local support for up to 72 hours. The ESF #5 staff needs to be self-sufficient in terms of supplies, equipment, and communications connectivity during this initial period.
6. Initial Information and Planning Section activities at the ROC/EST may require 24-hour operations.

IV. Concept of Operations

A. General

1. In response to a disaster situation or incident, emergency personnel from the affected State and the Federal Government should jointly assess the situation initially to determine if there is a need for Federal response operations. Executing these assessment duties involves Information and Planning personnel in the form of ERT-A staff.
2. In the initial period of an incident, the main avenue for the collection of disaster information should be from local sources (primarily first responders and other government elements), which should report information to the State Emergency Operations Center (EOC). At the State EOC, reports should be directed to the appropriate operational element(s) needing the information — both State and Federal response elements, including the Information and Planning Section. Information should be passed to Federal elements through the FEMA State Liaison from the appropriate FEMA Regional Office.
3. Information and Planning activities in the region commence with the activation of a ROC by the FEMA Regional Director, based on the need to monitor a potential or developing incident. As the situation develops and it is determined that Federal response and recovery assistance will be required, deployment to the disaster response location may begin. ESF #5 personnel should participate in initial response operations as part of the ERT-A, and later the full ERT in the DFO. The ROC is responsible for all situation reporting to the EST and other operating elements until the DFO is operational.
4. Information and Planning activities at the headquarters level should begin concurrently with ROC activities for an incident. In addition, ESF #5 elements on the EST may be activated at FEMA Headquarters at any time to monitor and report on situations that have a disaster potential.

5. As the DFO becomes operational, regional Information and Planning activities should transition from the State EOC and the ROC to the DFO. The focus of the information collection process should change from one involving overall assessment of the severity and extent of the damage to one describing the status of the response and recovery efforts.

B. Organization of the Information and Planning Section

Leadership for the Information and Planning Section rests with an Information and Planning Section Chief who reports directly to the ROC Director in the ROC, or the Federal Coordinating Officer (FCO) who heads the ERT at a DFO. In the ROC or DFO, a Deputy Information and Planning Section Chief may support the Section Chief. A second deputy may be necessary in a situation where a night shift would be operating. On the EST, the Section Chief has no deputy but may have an administrative assistant.

1. Basic Organizational Structure for the ROC or DFO

The organization chart in Figure ESF #5-1 shows a full Information and Planning Section that might operate at a DFO or, on a smaller scale, at a ROC. The ESF #5 Section Chief may adjust the size and structure of the section to fit the needs of the specific situation. The Section Chief consults with the ROC Director or FCO to determine the timetable for situation report (SITREP) inputs, SITREP publishing times, and times for daily status briefings. These consultations may include discussions with the headquarters EST because of report deadlines established by the White House and other leadership elements.

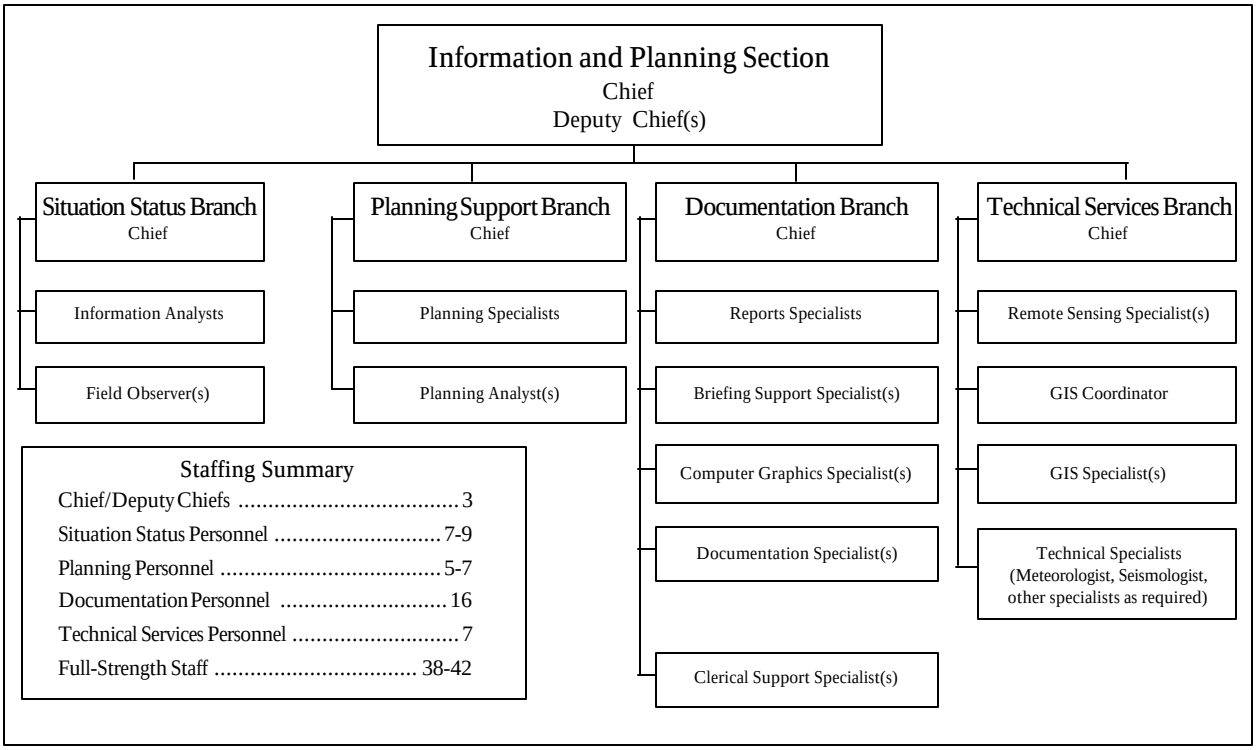


Figure ESF #5-1 — Organization of the ESF #5 Section of the Emergency Response Team

a. Situation Status Branch

(1) Collects, analyzes, and displays information regarding the disaster situation and the location of critical resources. The latter include special teams, task forces, deployed personnel, and highlights from resource tracking information maintained by the Logistics Section.

(2) Maintains the Situation Room for information displays, and collects and analyzes information to be used in the SITREPs, the status briefings, and by other responders.

(3) Develops appropriate media for displaying information, including the overall emergency team organizational chart and daily meeting information.

b. Planning Support Branch

(1) Receives information from the Situation Status Branch and uses it to support the different planning needs of the FCO and the ERT leadership;

(2) Analyzes long-term trends and assists team leadership with the development of strategic plans and formats;

(3) Identifies critical planning issues and provides general planning support to the ERT;

(4) Facilitates daily or special planning meetings;

(5) Produces and disseminates, as needed, daily action plans based on the functional plans of other sections, contingency plans based on specific issues, and long-range management plans concerning personnel or operational priorities; and

(6) Produces and disseminates a Daily Intelligence Summary for the FCO and other disaster managers.

c. Documentation Branch

(1) Receives information from the Situation Status Branch as well as from other ESFs and team elements to prepare its products, which include SITREPs, status and informal briefings, and special reports;

(2) Uses status reports of agencies leading the Federal response under other plans in describing response efforts in the SITREPs;

(3) Maintains archival files and records for each current disaster and provides clerical support to the Information and Planning Section; and

(4) Solicits inputs to and prepares the after-action report signed by the FCO.

d. Technical Services Branch

(1) Coordinates remote sensing and reconnaissance requirements;

(2) Establishes and maintains a geographic information system (GIS) capability within the DFO to include:

(a) Acquiring and/or setting up a GIS computer suite and/or coordinating through the FEMA Headquarters Information Technology Services Directorate Mapping and Analysis Center (MAC) for temporary use of a deployable GIS computer suite if available; and

(b) Generating GIS products and analyses, including maps and tables, and/ or coordinating with the MAC to obtain these products;

(3) Provides hazard-specific technical advice to support operational planning; and

(4) Uses additional subject matter experts or technical specialists such as a meteorologist or seismologist, as needed.

2. Basic EST Organization

The basic functions for the EST Information and Planning Section do not differ from those of the ERT. However, the same tasks are accomplished with fewer branches because in the headquarters environment some support requirements can be provided from organic assets that are not available to the ERT in the field. An organization chart is shown in Figure ESF #5-2. The Section Chief operates with an administrative assistant and two planning specialists. The chief oversees two branches — a Situation Status Branch and a Documentation Branch. The daily planning activities are organized and

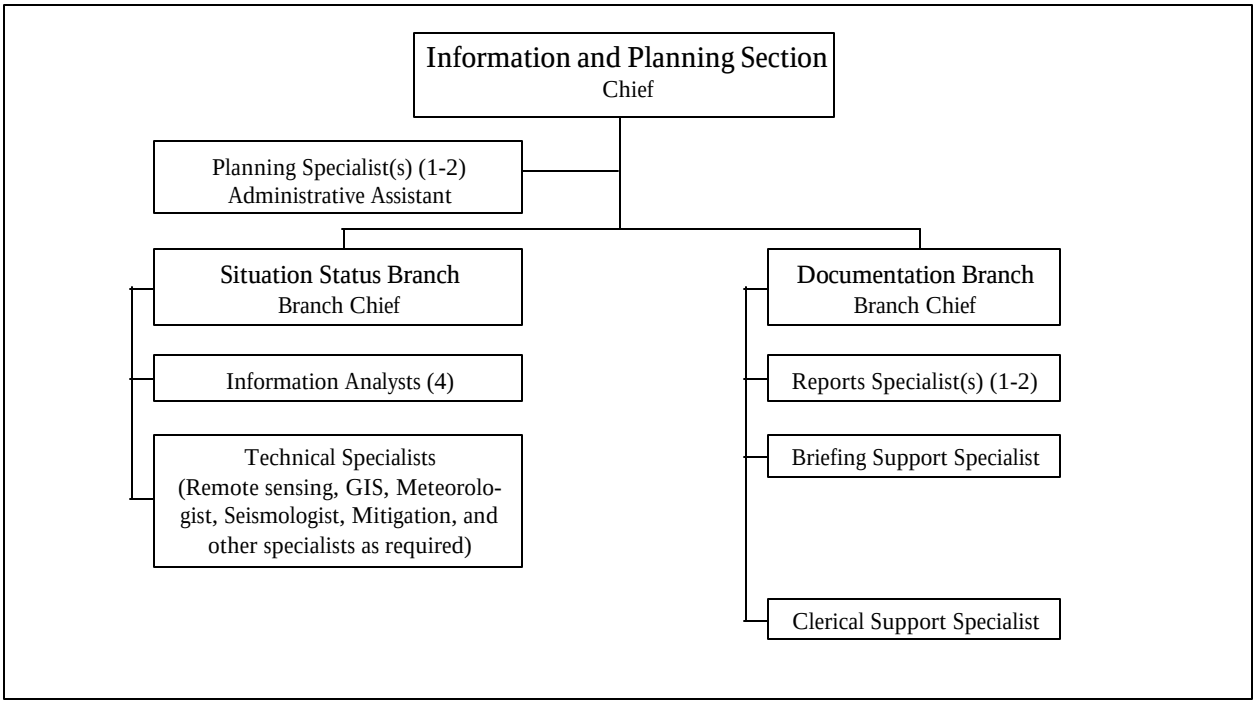


Figure ESF #5-2 — Organization of the ESF #5 Section of the Emergency Support Team

executed by the two planning specialists who collate and prepare the daily action plan based on functional plans prepared by the other EST sections. Other plans may be required if the disaster is large or there are multiple States involved.

a. Situation Status Branch

Conducts activities similar to those of the ERT, with one or more technical specialists who coordinate remote sensing and GIS requests. Technical/subject matter experts, such as a meteorologist, seismologist, or mitigation specialist, may be added to the branch, as needed, to collect hazard-specific information for reports and plans.

b. Documentation Branch

(1) Like its ERT counterpart, receives information from the Situation Status Branch as well as from other ESFs and sections, to be used in SITREPs, status and informal briefings, and special reports;

(2) Maintains archival files and records for each current disaster;

(3) Solicits inputs for and prepares an after-action report; and

(4) Develops, as needed, special reports (which may include daily White House briefings, talking points, or briefing books) for the FEMA Director and other senior FEMA officials, and congressional or Presidential briefings.

C. Response Actions

1. Initial Actions

The Information and Planning Section begins operations at the occurrence of the event/ incident or upon a pre-incident emergency declaration. In some instances, this could precede the onset of a disaster, e.g., during an approaching hurricane, when the ROC and headquarters Information and Planning Section would operate a small monitoring group.

a. Regional ESF activities for Information and Planning begin at the ROC. State information processing operations should commence simultaneously at the State EOC or another State-designated location. Then the ERT-A, including key Information and Planning staff, should deploy to the disaster response location. At that time, some of the regional staff may join State staff at the EOC to begin situation assessment activities, and other staff may go to the DFO to arrange space and equipment for the full Information and Planning Section. Additional staff should be activated as needed by the Section Chief.

b. The headquarters Information and Planning Section initiates activities in its operations area at FEMA Headquarters and establishes initial liaison with the ROC and/or the ERT-A. In the case of a developing incident, such as a major flood or hurricane, the Information Coordination Unit (ICU) at Headquarters provides intelligence to the incoming EST members.

2. Continuing Actions

Information and Planning Section actions last as long as necessary. Over time, disaster operations will transition from response to recovery. This transition does not change the mission of Information and Planning, nor does it affect the basic functions of information gathering, analysis, dissemination, and planning. As the tempo of disaster operations slows, the staff of the Information and Planning Section is gradually reduced.

a. The focus shifts to the economic impact of the disaster, the effectiveness of program delivery, and the identification of recovery issues. Normally, there will be an increased need for specific economic and demographic information provided by the Technical Services Branch.

b. The emphasis in planning during the recovery phase shifts from the daily action plan to long-range management plans. Much of this planning will be done by staff within individual ERT and EST sections or branches; Information and Planning staff collates the information and facilitates the process.

c. Situation reporting and formal briefings should continue through the recovery phase, although the frequency of both should be gradually reduced.

d. At least one Information and Planning staff member, normally a reports specialist, should remain on the FCO's staff until the DFO is closed. This facilitates the preparation of the after-action report, daily briefings, and talking points.

e. A reduced staff should remain active at FEMA Headquarters to develop briefings, special reports, and SITREPs as needed. When the requirement for regular reporting diminishes, this function should transition to the ICU. FCO SITREPs can substitute for the headquarters SITREPs during this period.

V. Responsibilities

A. Primary Agency: Federal Emergency Management Agency

1. Coordinate the overall Federal effort to collect, analyze, process, synthesize, report, and display essential elements of information (EEIs) and to facilitate support for planning efforts in disaster operations;

2. Coordinate Federal situation assessment to include remote sensing and reconnaissance operations, activation and deployment of assessment personnel or teams, and GIS support to operating disaster entities; and

3. Provide staffing support for Information and Planning Section activities at the State EOC, ROC, and DFO at the regional level and at FEMA Headquarters.

B. Support Agencies

Department of Agriculture
Department of Commerce (DOC)
- National Oceanic and Atmospheric Administration (NOAA)
  - National Weather Service (NWS)
  - National Ocean Service (NOS)
  - Environmental Research Laboratories (ERL)
- National Institute of Standards and Technology (NIST)

Department of Defense (DOD)
- Director of Military Support (DOMS)
- U.S. Army Corps of Engineers (USACE)
- National Imagery and Mapping Agency (NIMA)

Department of Education (DOEd)
Department of Energy (DOE)
Department of Health and Human Services (HHS)
Department of the Interior (DOI)
- U.S. Geological Survey (USGS)

Department of Justice (DOJ)
Department of Transportation (DOT)
- U.S. Coast Guard (USCG)

Department of the Treasury
- U.S. Customs Service

American Red Cross (ARC)
Environmental Protection Agency (EPA)
General Services Administration (GSA)
National Aeronautics and Space Administration (NASA)
National Communications System (NCS)
Nuclear Regulatory Commission (NRC)
Small Business Administration (SBA)

1. As support agencies to ESF #5, primary agencies for other ESFs should identify a staff liaison or a point of contact at the regional, DFO, and headquarters levels to provide disaster information and intelligence on ESF activities to the Information and Planning Section. In addition, all agencies as appropriate should identify a staff liaison or a point of contact at both the regional and headquarters levels to provide technical expertise, data, advice, and staff support for disaster operations and situation assessment activities that fall within the domain of each agency, as follows:
   a. Nautical and aeronautical charting, surveys, tidal and geodetic services, and geo-referenced coastal imagery (DOC/NOAA/NOS);
   b. Meteorology (DOC/NWS);
   c. Structural engineering (DOC/NIST);
   d. Economic and business impacts, banking, and small business recovery assistance (DOC, Treasury, and SBA);
   e. National security (DOD);
   f. Schools (DOEd);

g. Mental health (HHS);
h. Seismology (DOI/USGS);
i. Hydrology, stream flows, and water-level data (DOI, USACE, and DOC/NOAA);
j. Airborne pollution dispersion prediction (DOC/NOAA/ERL);
k. Shelter status reports and housing transition issues and planning (ARC);
l. Legal issues and law enforcement (DOJ);
m. Environmental impacts, pollution and hazardous materials (EPA and DOT/USCG);
n. Real-time assessment of disaster impact and magnitude (Treasury/U.S. Customs Service);
o. Nuclear power plants (NRC);
p. Dam safety (USACE); and
q. Remote sensing technology and assistance (DOI/USGS, DOD/NIMA, and NASA).

This list is not exhaustive. Support capabilities of other entities may be used as needed.

2. Agencies should provide personnel to support assessment operations as requested.

3. Agencies should provide personnel to work in the appropriate ESF of the ERT or EST. They should also provide periodic reports, as requested, on agency response operations to the Information and Planning Sections of the ERT and EST.

C. Support Organizations

1. Civil Air Patrol

a. Provide a liaison to the DFO to work with the Operations and ESF #5 Sections to facilitate coordination of Civil Air Patrol (CAP) support operations and to ensure that CAP activities are reported in the SITREP. Input to the SITREP also may be submitted through the Defense Coordinating Element.

b. Designate an appropriate CAP Wing Staff person to coordinate CAP-FEMA planning and response activities between the CAP-U.S. Air Force region and the FEMA regional staff.

2. Voluntary Organizations

Report information on their disaster response and recovery activities through the FEMA Voluntary Agency Liaison in the Human Services Branch of the ERT Operations Section. Information should include status of relief activities such as feeding, sheltering, cleanup, unsolicited donated goods and services management, or any other relief activity being provided to the affected community.

VI. References

A. Information and Planning Section Standard Operating Procedures, Federal Emergency Management Agency, July 1996 (or latest version).

B. The Federal Disaster Operations System — An Overview, 9000.0-VW, Federal Emergency Management Agency, June 1997.

C. All Hazards Notification, 4340.1-PR, Federal Emergency Management Agency, December 1996.

D. Memorandum of Understanding Between the Civil Air Patrol and the Federal Emergency Management Agency, August 10, 1996.

E. Civil Air Patrol Support in Disasters — A Standard Operating Procedure, 9347.1-PR, Federal Emergency Management Agency, September 1997.

VII. Terms and Definitions

A. Types of Plans Employed during ERT and EST Operations

1. Action Plan: A verbal or written plan reflecting FCO/State Coordinating Officer priorities with tactical objectives for the next operational period.
2. Contingency Plan: Targets a specific issue or event that arises during the course of disaster operations and presents alternative actions to respond to the situation.
3. Functional Plan: A subset of the action plan developed by individual elements, setting out their operational priorities for addressing the most pressing problems.
4. Long-Range Management Plan: Used by the FCO and team management in a large-scale disaster to address internal staffing and disaster organization and team requirements.
5. Strategic Plan: Addresses long-term issues such as impact of weather forecasts, time-phased resource requirements, and problems such as permanent housing for displaced disaster victims, environmental pollution, and infrastructure restoration.

B. Essential Elements of Information (EEIs)

To assess quickly and accurately the effect of a disaster on the population and infrastructure of an area, emergency managers require early intelligence on the areas noted below. This information facilitates accurate assessment of what response activities and materiel are required to save lives, relieve human suffering, and expedite response and recovery operations. During the early hours of a disaster and in the absence of “ground truth” information such as actual on-site surveys or imagery, GIS, computerized predictive modeling, and damage estimation software may be used to develop *initial* estimates of damage. As soon as possible, actual on-site ground surveys will be performed. Sources may include a Federal-State Preliminary Damage Assessment and information from Federal, State, and local government agencies, among others, to establish “ground truth” for the following EEIs as needed:

- Boundaries of the disaster area
- Social, economic, and political impacts
- Jurisdictional boundaries
- Status of transportation systems and critical transportation facilities
- Status of communications systems
- Access points to the disaster area
- Status of operating facilities
- Hazard-specific information
- Weather data affecting operations
- Seismic or other geophysical information
- Status of critical facilities and distribution systems
- Status of remote sensing and reconnaissance activities
- Status of key personnel
- Status of ESF activation
- Status of disaster or emergency declaration
- Major issues and activities of ESFs
- Resource shortfalls and status of critical resources
- Overall priorities for response
- Status of upcoming activities
- Donations
- Historical and demographic information
- Status of energy systems
- Estimates of potential impacts based on predictive modeling (as applicable)
- Status (statistics) on recovery programs (human services, infrastructure, SBA)
- Status and analysis of initial assessments (needs assessments and damage assessments, including Preliminary Damage Assessments)
- Status of efforts under other Federal emergency operations plans

C. Information Coordination Unit (ICU)

A FEMA Headquarters team that monitors and reports daily on potential or actual disasters. Prior to an incident, the ICU provides daily situation updates about all ongoing or pending activities. During a disaster, ICU members become part of the EST Information and Planning Section, Situation Status Branch.

D. Monitoring Period

The period preceding an incident characterized by assessment and preparatory activities leading to either response activity or stand-down. During this period, the Assessment and Analysis Branch, Operations and Planning Division, FEMA Response and Recovery Directorate, monitors causative factors and phenomena, keeps in close contact with the affected FEMA region(s) and appropriate Federal agencies, and may call for remote sensing data or other assessment actions.

E. Operational Period

The period of time scheduled for completion of a given set of operations actions as specified in the action plan, usually 24 hours. This period usually defines the reporting period for SITREPs and plans that address operational priorities.

F. Situation Assessment

The evaluation and interpretation of information gathered from a variety of sources — including weather information and forecasts, computerized models, GIS data mapping, remote sensing sources, ground surveys, etc. — that, when communicated to emergency managers and decision makers, can provide a basis for response and recovery decision making.

G. Situation Reports (SITREPs)

Periodic summaries of the disaster situation, including the status of operations, geographical information, identification of operational priorities and requirements, reports from specific ESFs on their major response and recovery activities, unmet needs, and recommended actions, as well as data on human services, infrastructure, and mitigation programs.

H. Situation Room

An area in the State EOC, ROC, DFO, or FEMA Headquarters used for the display of information summarizing the status of disaster operations.

I. Status Briefing

A briefing by ERT or EST personnel that summarizes the current situation, operational priorities, and the status of Federal response operations in support of a disaster.

This page intentionally left blank.

Emergency Support Function #6
Mass Care Annex

Primary Agency:	American Red Cross
Support Agencies:	Department of Agriculture Department of Defense Department of Health and Human Services Department of Housing and Urban Development Department of Veterans Affairs Federal Emergency Management Agency General Services Administration U.S. Postal Service

I. Introduction

A. Purpose

Emergency Support Function (ESF) #6 — Mass Care coordinates Federal assistance in support of State and local efforts to meet the mass care needs of victims of a disaster. This Federal assistance will support the delivery of mass care services of shelter, feeding, and emergency first aid to disaster victims; the establishment of systems to provide bulk distribution of emergency relief supplies to disaster victims; and the collection of information to operate a Disaster Welfare Information (DWI) system for the purpose of reporting victim status and assisting in family reunification.

B. Scope

1. This annex describes the response actions of ESF #6 and the responsibilities of primary and support agencies in accomplishing those response actions in support of the delivery of mass care services by State and local governments.

   The American Red Cross (ARC) independently provides mass care services to disaster victims as part of a broad program of disaster relief, as outlined in charter provisions enacted by the U.S. Congress, Act of January 5, 1905. The responsibilities assigned to the ARC as the primary agency for ESF #6 at no time will supersede those responsibilities assigned to the ARC by its congressional charter.

2. Initial response activities will focus on meeting urgent needs of disaster victims on a mass care basis. Initial recovery efforts may commence as response activities are taking place. As recovery operations are introduced, close coordination will be required between those Federal agencies responsible for recovery operations and voluntary organizations providing recovery assistance, including the ARC.

3. ESF #6 encompasses:

   a. Shelter

   Emergency shelter for disaster victims includes the use of pre-identified shelter sites in existing structures; creation of temporary facilities or the temporary construction of shelters; and use of similar facilities outside the disaster-affected area, should evacuation be necessary.

   b. Feeding

   Feeding will be provided to disaster victims and emergency workers through a combination of fixed sites, mobile feeding units, and bulk distribution of food. Such operations will be based on sound nutritional standards and will include meeting requirements of disaster victims with special dietary needs.

   c. Emergency First Aid

   Emergency first aid will be provided to disaster victims and workers at mass care facilities and at designated sites within the disaster area. This service will be supplemental to emergency health and medical services established to meet the needs of disaster victims.

   d. Disaster Welfare Information

   DWI regarding individuals residing within the affected area will be collected and provided to immediate family members outside the affected area through a DWI system. DWI will also be provided to aid in reunification of family members within the affected area who were separated at the time of the disaster.

   e. Bulk Distribution of Emergency Relief Items

   Sites will be established within the affected area for bulk distribution of emergency relief items to meet urgent needs of disaster victims.

4. ESF #6 does not include recovery activities. (As a private, nonprofit organization, the ARC independently provides recovery assistance under its congressional charter.)

II. Policies

A. All mass care activities and services will be provided without regard to economic status or racial, religious, political, ethnic, or other affiliation.

B. All mass care activities and services will be provided in accordance with existing Federal statutes, rules, and regulations.

C. Federal support agency personnel assigned to ESF #6 will work in accordance with their parent agency rules and regulations, and will be self-sufficient for a minimum of 72 hours following a disaster occurrence.

D. The ARC Disaster Services, National Headquarters, will coordinate ESF #6 planning activities to ensure an immediate and automatic ESF #6 response.

E. Actions initiated by ARC chapters and its national headquarters in response to a disaster event are independent of actions taken by the ARC as the primary agency for ESF #6.

III. Situation

A. Disaster Condition

1. The magnitude of damage to structures and lifelines will rapidly overwhelm the capacity of State and local governments to assess the disaster and respond effectively to basic and emergency human needs. Damage to roads, airports, communications systems, etc., will hamper emergency response efforts. The movement of emergency supplies will be seriously impeded. Many professional emergency workers and others who normally would help during a disaster will be dead, injured, involved with family problems resulting from the disaster, or unable to reach their assigned posts. State, county, and municipal emergency facilities will be severely damaged or inaccessible.

2. Hundreds of thousands of disaster victims will be forced from their homes, depending on such factors as time of occurrence, area demographics, building construction, and existing weather conditions. There will be large numbers of dead and injured, which also may leave a large number of specialized population groups (e.g., elderly, children) without support. Thousands of family members may be separated immediately following a sudden-impact disaster, such as children in school and parents at work. Thousands of transients, such as tourists, students, and foreign visitors, may be involved.

B. Planning Assumptions

1. A major disaster or emergency occurs that produces significant casualties and widespread damage.

2. Mass care facilities will receive priority consideration for structural inspections to ensure safety of occupants.

3. Mass care operations and logistical support requirements will be given high priority by Federal agencies.

C. Planning Factors

1. The nature and extent of the disaster require a planned, immediate, and automatic response from the entire emergency management community.

2. Individuals in areas of high risk are expected to have prepared for and be self-sufficient for a minimum of 72 hours.

3. Local units of voluntary agencies active in disaster will to the maximum extent possible provide immediate feeding, shelter, and emergency first aid services in response to the disaster event under their own auspices and authorities. These units will plan to provide these services without external support for at least the first 72 hours following the onset of a disaster.

4. The ESF #6 planning basis for sheltering is that approximately 20 percent of the affected population will seek public shelter. Some victims will find shelter with friends and relatives, some will leave the area, and some will remain at or near their damaged homes.
5. A certain percentage of the sheltered population will require shelter for an extended period of time.
6. The restoration of communications systems, disrupted by damages and overloads, may take weeks.

IV. Concept of Operations

A. General

1. ESF #6 will work directly with its State functional or agency counterpart to provide the support needed as identified by the State. Requests for assistance will be channeled from local jurisdictions through a designated State liaison to the Federal Coordinating Officer or designee and then to ESF #6 for action. Assistance will be provided from ESF #6 to the State, or at the State's request, directly to an affected local jurisdiction.
2. The ARC will deploy administrative staff to establish a temporary field headquarters for ESF #6 to support initial response. The field headquarters staff will immediately establish a direct reporting link with ARC Disaster Services at National Headquarters. This response includes deploying staff with the Advance Element of the Emergency Response Team (ERT-A) and to the Federal Emergency Management Agency (FEMA) Regional Operations Center (ROC), as well as convening the ESF #6 regional element.
3. ESF #6 leadership will convene at the ARC National Headquarters following Federal Response Plan implementation to evaluate the situation, implement plans established to support mass care operations, and consider and respond to requests for mass care-related resources.

B. Organization

1. National-Level Response Support Structure

a. The ESF #6 staff will operate under the direction of the Senior Vice President, Chapter Services, of the ARC at National Headquarters in Washington, DC. The ARC National Headquarters will provide administrative support to the ESF #6 staff.

b. The Senior Vice President, Chapter Services, will represent ESF #6 as a member of the Catastrophic Disaster Response Group (CDRG).

c. Representatives of all agencies designated to support ESF #6 will be available on a 24-hour basis for the duration of the emergency response period.

2. Regional-Level Response Structure

a. The regional-level response structure may be composed of representatives at the ROC and representatives on the ERT-A. When fully operational, the regional-level response structure includes the ESF #6 section in the Disaster Field Office (DFO).

b. Liaisons from Federal support agencies will be available to the ESF #6 section at the DFO as necessary, and available on a 24-hour basis for the duration of the emergency response period.

c. Liaisons from ESF #6 to other ESFs and/or related functions will be identified and deployed by the ESF #6 section in the DFO.

C. Activation

1. The FEMA National Emergency Coordination Center will activate ESF #6 by contacting the ARC Disaster Operations Center, which will activate agencies whose support is required.

2. This activation may include deploying staff to the Emergency Support Team (EST) at FEMA Headquarters, the affected ROC, the ERT-A, and the full ERT.

V. Response Actions

A. Initial Actions

1. The national ESF #6 response structure will:

   a. Assess the disaster situation and forecast mass care response needs;

   b. Provide technical assistance to the regional ESF #6 section and EST; and

   c. Validate requests from the regional ESF #6 section for mass care resources.

2. The regional ESF #6 section will:

   a. Establish communications with the national ESF #6 response structure;

   b. Assess the disaster situation and determine the adequacy of mass care response activities;

   c. Provide technical assistance to the State agency responsible for mass care;

   d. Validate requests from the affected State for mass care resources;

   e. Manage the process for requests for Federal assistance;

   f. Provide reports to the national ESF #6 response structure and DFO; and

   g. Anticipate future mass care requirements.

B. Continuing Actions

1. The national ESF #6 response structure will:
   a. Assess the disaster situation and mass care response needs;
   b. Provide technical assistance to the regional ESF #6 section and EST;
   c. Coordinate resource requests with the Federal support agencies and EST;
   d. Provide status reports on mass care activities in the region(s); and
   e. Anticipate future mass care requirements.
2. The regional ESF #6 section will:
   a. Coordinate the resources necessary to support the conduct of all required mass care services;
   b. Maintain contact with the State agency responsible for mass care to coordinate assistance. ESF #6, in conjunction with the State counterpart, will evaluate the needs for mass care and, when scarce resources are involved, present those needs to the national ESF #6 response structure for guidance in resource allocation;
   c. Manage the request for Federal assistance process for mission assignments and taskings;
   d. Manage logistical support and related fiscal activities;
   e. Anticipate future mass care requirements; and
   f. Coordinate with Federal and voluntary organization recovery programs for the transition of mass care response to recovery operations.

VI. Responsibilities

A. Primary Agency: American Red Cross

1. Support the management and coordination of sheltering, feeding, emergency first aid services, bulk distribution of emergency relief items, and DWI services to the disaster-affected population;
2. Provide disaster welfare information to appropriate authorities in response to disaster welfare inquiries and family reunification requests; and
3. Manage mass care logistical and related fiscal activities.

B. Support Agencies

1. Department of Agriculture

a. Food and Nutrition Service

(1) Locate and secure supplies of food, including federally owned surplus foods, to supplement those in the disaster area; and

(2) Provide statistics on the quantities and locations of food furnished by the Food and Nutrition Service.

b. Forest Service

(1) Provide available departmental resources (cots, blankets, sleeping bags, and personnel) for shelters; and

(2) Provide logistical guidance and support.

2. Department of Defense

a. Director of Military Support

Provide available resources (personnel, equipment, and supplies) in the absence of other national disaster system resource capabilities (including contracting).

b. U.S. Army Corps of Engineers

(1) Provide potable water and ice for mass care use and bulk distribution to disaster victims;

(2) Provide assistance in inspecting mass care shelter sites after the disaster to ensure suitability of facilities to safely shelter disaster victims; and

(3) Provide assistance in constructing temporary shelter facilities, if necessary, in the disaster area.

3. Department of Health and Human Services

a. Provide Department of Health and Human Services workers to augment personnel assigned to shelters;

b. Provide casualty information from within the disaster-affected area in support of a DWI system;

c. Provide technical assistance for shelter operations related to food, vectors, water supply, and waste disposal; and

d. Assist in the provision of medical supplies.

4. Department of Housing and Urban Development

a. Provide information on available habitable housing units, owned or in the possession of the Department of Housing and Urban Development (HUD), within or adjacent to the disaster or affected area for use as emergency shelters; and

b. Provide available HUD staff to assist when needed with mass care operations.

5. Department of Veterans Affairs

a. Provide for food preparation and stockpiling in its facilities during the immediate emergency;

b. Provide medical supplies and personnel to support mass care operations; and

c. Provide available facilities suitable for mass shelter.

6. Federal Emergency Management Agency

a. Assist in the release of information for notification of relatives;

b. Assist in establishing priorities and coordinating the transition of mass care operations with recovery activities based on disaster situation information and the availability of resources that can be appropriately applied; and

c. Provide available resources such as cots, blankets, Meals-Ready-to-Eat (MREs), and other Initial Response Resources and logistical support, including communications, for disaster operations as appropriate.

7. General Services Administration

a. Provide communications links to the DWI center from the disaster area; and

b. Provide other logistical support for mass care requirements as requested.

8. U.S. Postal Service

a. Provide Change of Address Cards for victims to notify the Postal Service of relocation addresses for the purpose of mail forwarding, and assist in the distribution, collection, and mailing of those cards; and

b. Provide an electronic file of address change information furnished by disaster victims.

VII. References

A. American Red Cross Disaster Services Program, Foundations of the Disaster Services Program, ARC 3000, April 1996.

B. American Red Cross Disaster Services Program, Mass Care — Preparedness and Operations, ARC 3041, April 1987.

C. American Red Cross Disaster Services Program, Disaster Welfare Inquiry, ARC 3044, April 1996.

D. American Red Cross Disaster Services Regulations and Procedures, Disaster Health Services — Preparedness and Operations, ARC 3050, April 1988.

E. Statement of Understanding between the Federal Emergency Management Agency and the American National Red Cross, October 1, 1997.

Emergency Support Function #7
Resource Support Annex

Primary Agency:	General Services Administration
Support Agencies:	Department of Agriculture Department of Commerce Department of Defense Department of Energy Department of Labor Department of Transportation Department of the Treasury Department of Veterans Affairs Federal Emergency Management Agency National Aeronautics and Space Administration National Communications System Office of Personnel Management

I. Introduction

A. Purpose

Emergency Support Function (ESF) #7 — Resource Support provides operational assistance in a potential or actual presidentially declared major disaster or emergency.

B. Scope

ESF #7 support to Federal organizations during the immediate response phase of a disaster includes emergency relief supplies, space, office equipment, office supplies, telecommunications (in coordination with ESF #2 — Communications if activated), contracting services, transportation services (in coordination with ESF #1 — Transportation), security services, Federal law enforcement liaison, and personnel required to support immediate response activities. ESF #7 provides support for requirements not specifically identified in the other ESFs. It addresses the effort and activity necessary to evaluate, locate, procure, and provide essential material resources, including excess and surplus property. ESF #7 support may continue until the disposition of excess and surplus property, if any, is completed.

II. Policies

A. In accordance with assigned responsibilities and upon implementation of the Federal Response Plan (FRP), the Resource Support agencies will provide operational assistance to the affected areas.

B. Support agencies will furnish resources to support ESF #7 requirements, including procurement personnel necessary to establish operations effectively at the national and regional levels. Such support will be terminated at the earliest practical time.

C. Equipment and supplies will be provided from current Federal stocks or, if necessary, from commercial sources. Supplies to be used will not be stockpiled for the purposes of ESF #7.

D. General Services Administration (GSA) support of other ESFs will be done through ESF #7.

E. All procurement will be supported by a written justification and will be made in accordance with current Federal laws and regulations, which when necessary authorize other than "full and open competition." GSA is the central procurement authority for the Federal Government. All procurement actions made at the request of Federal agencies in support of the FRP will be in accordance with GSA's statutory and administrative requirements and will be accomplished using the appropriate fund citation/reimbursement procedures.

F. The provision of the operational support necessary to establish the response capacity of Federal agencies will be a major element in the execution of ESF #7.

III. Situation

A. Disaster Condition

A major disaster could cripple the productive capability of the affected area to respond, as well as that of surrounding areas under extreme conditions. The Federal Government, however, will have the capacity to meet most foreseeable requirements. There will be shortages in the local area of a wide variety of supplies necessary for emergency population survival, such as cots, sheets, blankets, pillows, pillowcases, tents for temporary shelter, and plastic and paper items for mass feeding.

B. Planning Assumptions

1. Implementation of the FRP will occur during peacetime. If the United States is involved in a significant military operation, the Federal Government will be devoted to supporting it, and allocation of available resources for multiple demands will be coordinated in conjunction with appropriate resource agencies.

2. Federal requirements may need to be met from resources outside the disaster area, as most local resources will be claimed by the State in support of response operations.

3. Transport of resources may require a mobilization center. National Guard or military bases will be available for use, and adequate facilities will be available for materiel handling. Appropriate State and Federal officials should mutually agree upon the use of these facilities prior to a response requirement.

4. Warehouses belonging to the Federal agencies within the affected area may suffer major structural damage. Supplies contained in these warehouses may be inaccessible during initial postdisaster operations but will be available at a later date as debris is cleared.

5. All requested Resource Support will be required for the immediate relief operations, e.g., initial lifesaving and life-support operations.

IV. Concept of Operations

A. General

The nationwide capabilities of the Resource Support community will be committed through Emergency Operations Centers (EOCs) at the national and regional levels. The primary determination of resource needs is made by the operational elements at the regional level. Requests for resources will flow upward through and be controlled by EOCs at the regional and national levels. The primary source of personnel, equipment, materials, and supplies will be from existing Federal resources. Support that cannot be provided from Federal resources may be secured through direct procurement or donations.

B. Organization

1. National-Level Response Support Structure

a. The national ESF will operate under the direction of the GSA Emergency Coordinator (EC).

b. ESF support operations will be coordinated through the GSA EC in the GSA Central Office, Washington, DC.

c. Upon notification of implementation of the FRP, the GSA EC will make an initial determination of which ESF support agencies will be required to make personnel available at the EOC and which will be required to remain available on telephone standby. All national ESF support agency personnel will notify their parent agencies and await instruction from the GSA EC before reporting to the GSA EOC.

d. The EC will represent the ESF in its dealings with the Catastrophic Disaster Response Group (CDRG) and will maintain liaison with the regional ESF and other interested parties.

e. GSA Central Office will provide administrative support to the ESF.

2. Regional-Level Response Structure

a. The GSA Regional Administrator or Regional Emergency Coordinator (REC) is the regional ESF head.

b. The GSA Regional Administrator or REC will appoint one or more Federal Emergency Support Coordinator(s) (FESC), if needed, to coordinate the provision of ESF support at the Disaster Field Office (DFO).

c. Preferably, the regional EOC will be located in the DFO. The GSA region will determine the center's initial location if movement to, or the condition of, the DFO precludes immediate occupancy.

d. The agencies supporting this ESF will have a representative present at the DFO on a 24-hour (12-hour shift) basis for the duration of the emergency response period if required.

e. For a disaster affecting a multi-State area within a region, one location may be chosen that will act as a consolidation point for all Resource Support requests. The location chosen must enhance support to all affected States and ensure coordination with other ESFs. Where possible, the location will be determined in concert with the Federal Emergency Management Agency (FEMA) and other ESFs during the planning process. This does not preclude establishing one ESF per GSA region, with a liaison element in each DFO.

f. GSA will provide administrative support for the regional ESF.

C. Notification

1. The GSA EC will be notified by the FEMA National Emergency Coordination Center. The GSA EC will notify all support agencies.

2. The GSA EC will notify the head of the affected regional ESF by any means necessary. If the GSA EC encounters difficulties in providing information to the affected regional official, the EC will notify FEMA of the difficulty and request assistance. The GSA EC also will notify selected GSA regional officials of the need to be prepared to provide support as required.

3. Upon notification:

   a. All national ESF support agency personnel will contact their parent agencies and await instructions from the GSA EC before reporting to the GSA EOC; and

   b. All regional ESF support personnel will contact their parent agencies and report to their predesignated ESF initial operational location.

D. Response Actions

1. Initial Actions

Upon ESF notification by FEMA:

a. The GSA EC, or an authorized representative, within 2 hours after notification will alert the national and regional ESF points of contact as required, ensuring that all internal GSA parties are fully informed of developments.

b. The GSA EC will provide support to Federal agencies engaged in the disaster response as requirements are identified until the regional ESF is operational.

c. The REC will assume control of ESF #7 operations under the FRP.

d. The appropriate regions will be contacted to augment response operations.

e. The REC will establish and deploy a team or teams to provide the following support as necessary:

   (1) Deploy a representative to the Regional Operations Center (ROC);

(2) Deploy a team to the State EOC as part of the Advance Element of the Emergency Response Team (ERT-A);

(3) Ensure that a suitable DFO facility, using pre-identified locations where applicable, is acquired and ready to occupy within 72 hours of receiving FEMA's requirements and/or FEMA's acceptance of the space;

(4) Provide support in acquiring communications, office furniture, equipment, and supplies to equip the DFO;

(5) Support deployment of Initial Response Resources (IRR) with transportation services and procurement; and

(6) Establish and manage mobilization center(s).

2. Continuing Actions

From the time of initial actions and throughout the immediate response period, ESF #7 will provide Resource Support in accordance with its charged responsibilities. The following procedures will be used to provide, control, and account for goods and services.

a. Upon notification of space requirements, the ESF will determine, through the regional GSA Public Buildings Service (PBS), the availability of suitable space in federally owned or leased buildings.

b. When space in federally owned or leased buildings is not available or acceptable, the FEMA Regional Director or Federal Coordinating Officer (FCO) will be notified by the ESF, which will then arrange with the regional PBS to assist in locating suitable space elsewhere.

c. Communications capability will be provided through the Federal Emergency Communications Coordinator.

d. ESF #7, in support of ESF #1, will arrange for transportation as required.

e. Motor equipment will be provided from the following sources:

(1) Equipment owned by Federal agencies that may be reassigned to the Federal disaster operation;

(2) Federal supply schedule contractors; and

(3) Other commercial sources.

f. All required office furniture and equipment will be provided from Federal inventories or commercial sources.

g. Office supplies and other expendables will be provided from Federal stores, supply centers, stock, or other government and commercial sources. Small businesses and vendors in the affected area will be used whenever possible.

h. Procurement support will be provided using GSA, Defense Logistics Agency (DLA), and other agencies' contracting resources as required.

i. The ESF will make available technical advisors in the areas of procurement, storage, and transportation as well as engineering advisory services in connection with damage surveys, appraisals, and building demolitions or repairs.

j. The ESF will determine the availability of and provide supplies stocked in distribution facilities, national defense stockpile, and customer supply centers when and if immediately available.

k. The ESF will provide Federal Police, if available, to support FEMA upon request.

l. The ESF will provide contract guard services to augment Federal security activities.

m. In addition to the above, the ESF also will loan excess Federal personal property and provide other services as requested by the FCO.

V. Responsibilities

A. Primary Agency: General Services Administration

1. The GSA EC will be responsible for providing, directing, and coordinating ESF #7 operations.

2. The GSA REC will be responsible for the following:

   a. Locate, procure, and issue resources to other Federal agencies for use in emergency operations necessary to support the Federal emergency response or to promote public safety;

   b. Coordinate the transfer of excess Federal personal property and aid in its disposal when requested;

   c. Locate and coordinate the use of available space for disaster management activities;

   d. Coordinate and determine the availability of and provide consumable nonedible supplies stocked in distribution facilities and customer supply centers when available;

   e. Procure required stocks from vendors or suppliers when GSA items are not readily available;

   f. Provide motor equipment and transportation services in coordination with the Department of Transportation, and in conformance with its responsibilities for the implementation of emergency-related functions, including the prioritization and/or allocation of all or part of the civil transportation resource and related ESF #1 responsibilities;

   g. Coordinate the procurement of telecommunications equipment in coordination with ESF #2; and

   h. Provide support to the GSA Regional Administrator on all Resource Support activities.

B. Support Agencies

1. Department of Agriculture, Forest Service

a. Provide the management and support of mobilization centers; and

b. Provide assistance related to transportation and accountability of IRR items at the mobilization centers.

2. Department of Commerce

The Interagency Committee on Seismic Safety in Construction/Building and Fire Research Laboratory of the National Institute of Standards and Technology will provide technical expertise on structural surveys as well as the procurement of external consulting services. This procedure is necessary to assess the structural and fire safety of Federal and non-Federal damaged buildings and lifelines, i.e., public works and utilities.

3. Department of Defense

Provide resources (personnel, equipment, and supplies) in the absence of other national disaster system resource capabilities (to include contracting) when provision does not conflict with the Department of Defense's primary mission or its ability to respond to operational contingencies.

4. Department of Energy

Coordinate with energy industries to assist in meeting critical fuel, lubricant, and electrical power needs unable to be met by State or Federal actions.

5. Department of Labor

Provide technical personnel to assist in the identification and recruitment of individuals with specialized occupations needed to support disaster response operations. The Job Corps at the regional level can provide students and instructors capable of providing support.

6. Department of Transportation

Determine requirements, locations, and schedules for the movement of emergency supplies into and within the disaster area.

7. Department of the Treasury, U.S. Customs Service

Provide security support as requested.

8. Department of Veterans Affairs

a. Provide technical assistance in identifying and procuring medical supplies and other medical services;

b. Provide personnel knowledgeable in Federal procurement and distribution operations; and

c. Provide computer support operations as appropriate.

9. Federal Emergency Management Agency

a. Act as liaison to provide logistical support to Federal, State, and local governments;

b. Provide a Law Enforcement Liaison Officer to operate an information clearinghouse and facilitate the coordination of Federal law enforcement organizations for response to disaster-related activities;

c. Establish and coordinate security requirements for the protection of Federal personnel and assets in relation to disaster response and recovery activities and facilities;

d. Provide Contracting Officers' Technical Representatives from the ROC, ERT, or Emergency Support Team Logistics or Operations Section for all ESF #7-executed procurement contracts as appropriate; and

e. Provide an Accountable Property Officer to ensure compliance with property management regulations and assume responsibility for Federal property management associated with ERT missions and general operations.

10. National Aeronautics and Space Administration

Provide available space, buildings, airports, and telecommunications as may be required for emergency support operations.

11. National Communications System

Assist in coordinating the provision of commercial telecommunications assets within the disaster area as appropriate.

12. Office of Personnel Management

Identify, locate, and, if necessary, recruit personnel needed to support disaster operations after appropriate coordination with GSA.

VI. References

A. Federal Property and Administrative Services Act of 1949.

B. GSA/FEMA Memorandum of Understanding, February 2, 1989.

C. GSA Orders.

D. Department of Defense regulations governing civil assistance.

VII. Terms and Definitions

A. Federal Emergency Support Coordinator (FESC)

The FESC is the principal point of contact between GSA and FEMA for the establishment of support priorities, allocation of GSA resources, and coordination of the delivery of all GSA equipment, services, and materials except those pertaining to telecommunications. The

FESC, with appropriate GSA support staff as determined by the FESC, will normally be located at the DFO. However, at the discretion of the FCO, support may be provided from an already established GSA office, granted that such support is not delayed. The FESC serves until released by the FCO.

B. Regional Emergency Coordinator (REC)

The GSA REC or a designated alternate is the regional point of contact for FEMA alerts and requests for assistance.

This page intentionally left blank.

Emergency Support Function #8
Health and Medical Services Annex

Primary Agency:	Department of Health and Human Services
Support Agencies:	Department of Agriculture Department of Defense Department of Energy Department of Justice Department of Transportation Department of Veterans Affairs Agency for International Development American Red Cross Environmental Protection Agency Federal Emergency Management Agency General Services Administration National Communications System U.S. Postal Service

I. Introduction

A. Purpose

Emergency Support Function (ESF) #8 — Health and Medical Services provides coordinated Federal assistance to supplement State and local resources in response to public health and medical care needs following a major disaster or emergency, or during a developing potential medical situation. Assistance provided under ESF #8 is directed by the Department of Health and Human Services (HHS) through its executive agent, the Assistant Secretary for Health (ASH). Resources will be furnished when State and local resources are overwhelmed and public health and/or medical assistance is requested from the Federal Government.

B. Scope

1. ESF #8 involves supplemental assistance to State and local governments in identifying and meeting the health and medical needs of victims of a major disaster, emergency, or terrorist attack. This support is categorized in the following functional areas:

   a. Assessment of health/medical needs;

   b. Health surveillance;

   c. Medical care personnel;

   d. Health/medical equipment and supplies;

e. Patient evacuation;

f. In-hospital care;

g. Food/drug/medical device safety;

h. Worker health/safety;

i. Radiological/chemical/biological hazards consultation;

j. Mental health care;

k. Public health information;

l. Vector control;

m. Potable water/wastewater and solid waste disposal;

n. Victim identification/mortuary services; and

o. Veterinary services.

2. HHS, in its primary agency role for ESF #8, coordinates the provision of Federal health and medical assistance to fulfill the requirements identified by the affected State and local authorities having jurisdiction. Included in ESF #8 are overall public health response; triage, treatment, and transportation of victims of the disaster; and evacuation of patients out of the disaster area, as needed, into a network of Military Services, Veterans Affairs, and pre-enrolled non-Federal hospitals located in the major metropolitan areas of the United States. ESF #8 will utilize resources primarily available from:

   a. Within HHS;

   b. ESF #8 support agencies;

   c. The National Disaster Medical System (NDMS), a nationwide medical mutual aid network between the Federal and non-Federal sectors that includes medical response, patient evacuation, and definitive medical care. At the Federal level, it is a partnership between HHS, the Department of Defense (DOD), the Department of Veterans Affairs (VA), and the Federal Emergency Management Agency (FEMA); and

   d. Specific non-Federal sources such as major pharmaceutical suppliers, hospital supply vendors, the National Foundation for Mortuary Care, certain international disaster response organizations and international health organizations.

II. Policies

A. ESF #8 will be implemented upon the appropriate State-level request for assistance following the occurrence of a major disaster or emergency and after determination has been made by FEMA that a Federal response is warranted.

B. The ASH is responsible for activating and coordinating the activities of ESF #8. The lead policy official for ESF #8 supporting the ASH is the Principal Deputy Assistant Secretary for Health (PDASH). The HHS Office of Emergency Preparedness (HHS/OEP) is the action agent and is responsible for coordinating the implementation of ESF #8 and providing staff support to the HHS policy officials. The HHS Regional Health Administrators (RHAs) are the operating agents and are responsible for directing regional ESF #8 activities.

C. The national HHS Emergency Operations Center (EOC)/NDMS Operations Support Center (OSC) (HHS EOC/NDMSOSC) will provide liaison between the Federal Government headquarters and appropriate regional officials in the response structure at the disaster scene for the coordination of Federal health and medical assistance to meet the requirements of the situation. The HHS EOC will coordinate and facilitate the overall ESF #8 response.

D. In accordance with assignment of responsibilities in ESF #8, and further tasking by the primary agency, each support agency will contribute to the overall response but will retain full control over its own resources and personnel.

E. ESF #8 is the primary source of public health and medical response/information for all Federal officials involved in response operations.

F. All national and regional organizations (including other ESFs) participating in response operations will report public health and medical requirements to their counterpart level (national or regional) of ESF #8.

G. To ensure patient confidentiality protection, ESF #8 will not release medical information on individual patients to the general public.

H. Appropriate information on casualties/patients will be provided to the American Red Cross (ARC) for inclusion in the Disaster Welfare Information (DWI) system for access by the public.

I. Requests for recurring reports of specific types of public health and medical information will be submitted to ESF #8. ESF #8 will develop and implement procedures for providing these recurring Situation Reports (SITREPs).

J. The primary Joint Information Center (JIC), established in support of the Federal Response Plan (FRP), will be authorized to release general medical and public health response information to the public. Other JICs may also release general medical and public health response information at the discretion of the lead Public Affairs Officer.

III. Situation

A. Disaster Condition

1. A significant natural disaster or man-made event that overwhelms the affected State would necessitate both Federal public health and medical care assistance. Hospitals, nursing homes, ambulatory care centers, pharmacies, and other facilities for medical/health care and special needs populations may be severely structurally damaged or

destroyed. Facilities that survive with little or no structural damage may be rendered unusable or only partially usable because of a lack of utilities (power, water, sewer) or because staff are unable to report for duty as a result of personal injuries and/or damage/disruption of communications and transportation systems. Medical and health care facilities that remain in operation and have the necessary utilities and staff will probably be overwhelmed by the "walking wounded" and seriously injured victims who are transported there in the immediate aftermath of the occurrence. In the face of massive increases in demand and the damage sustained, medical supplies (including pharmaceuticals) and equipment will probably be in short supply. (Most health care facilities usually maintain only a small inventory stock to meet their short-term, normal patient load needs.) Disruptions in local communications and transportation systems could also prevent timely resupply.

2. Uninjured persons who require daily or frequent medications such as insulin, antihypertensive drugs, digitalis, and dialysis may have difficulty in obtaining these medications and treatments because of damage/destruction of normal supply locations and general shortages within the disaster area.

3. In certain other disasters, there could be a noticeable emphasis on relocation, shelters, vector control, and returning water, wastewater, and solid waste facilities to operation.

4. A major medical and environmental emergency resulting from chemical, biological, or nuclear weapons of mass destruction could produce a large concentration of specialized injuries and problems that could overwhelm the State and local public health and medical care system.

B. Planning Assumptions

1. Resources within the affected disaster area will be inadequate to clear casualties from the scene or treat them in local hospitals. Additional mobilized Federal capabilities will be urgently needed to assist State and local governments to triage and treat casualties in the disaster area and then transport them to the closest appropriate hospital or other health care facility. Additionally, medical resupply will be needed throughout the disaster area. In a major disaster, operational necessity may require the further transportation by air of patients to the nearest metropolitan areas with sufficient concentrations of available hospital beds, where patient needs can be matched with the necessary definitive medical care.

2. A terrorist release of weapons of mass destruction; damage to chemical and industrial plants, sewer lines, and water distribution systems; and secondary hazards such as fires will result in toxic environmental and public health hazards to the surviving population and response personnel, including exposure to hazardous chemicals, biologicals, radiological substances, and contaminated water supplies, crops, livestock, and food products.

3. The damage and destruction of a major disaster, which may result in multiple deaths and injuries, will overwhelm the State and local mental health system, producing an urgent need for mental health crisis counseling for disaster victims and response personnel.
4. Assistance in maintaining the continuity of health and medical services will be required.
5. Disruption of sanitation services and facilities, loss of power, and massing of people in shelters may increase the potential for disease and injury.
6. Primary medical treatment facilities may be damaged or inoperable; thus, assessment and emergency restoration to necessary operational levels is a basic requirement to stabilize the medical support system.

IV. Concept of Operations

A. General

1. Upon notification of a major disaster or emergency, HHS (as primary agency) will alert the HHS EOC staff to assemble in the HHS EOC. The ASH, PDASH, HHS Agency Emergency Coordinators (AECs), and appropriate HHS RHAs, Regional Emergency Coordinators, and Regional Directors (RDs) will be notified.
2. The ASH will direct the activities of ESF #8 and will activate the NDMS as needed.
3. Pre-identified personnel will be alerted to meet requirements for representing ESF #8 on the:
   a. Catastrophic Disaster Response Group (CDRG);
   b. Emergency Support Team (EST);
   c. National ESF #8 EOC;
   d. Regional ESF #8 Coordination Center;
   e. Regional Operations Center (ROC); and
   f. Emergency Response Team — Advance Element (ERT-A).
4. All support agencies will be notified and tasked to provide 24-hour representation as necessary. Each support agency is responsible for ensuring that sufficient program staff is available to support the HHS EOC and to carry out the activities tasked to its agency on a continuous basis. Individuals representing agencies who are staffing the HHS EOC will have extensive knowledge of the resources and capabilities of their respective agencies and have access to the appropriate authority for committing such resources during the activation.
5. National ESF #8 will provide liaison and communications support to regional ESF #8 to facilitate direct communications between them. The national ESF #8 personnel will be deployed as necessary to assist regional ESF #8 in establishing and maintaining effective coordination within the disaster area.

6. Regional ESF #8 will coordinate with the appropriate State medical and public health officials and organizations to determine current medical and public health assistance requirements.
7. Regional ESF #8 will be supported by the Joint Regional Medical Planning Office (JRMPO) or other entity designated by the DOD Defense Coordinating Officer (DCO) to coordinate civil authority requests for military resource support within the disaster area. Regional ESF #8 also will be assisted by those other support agencies as contained in the regional ESF #8 appendices.
8. Regional ESF #8 will utilize locally available health and medical resources to the extent possible to meet the needs identified by State and local authorities. National ESF #8 will meet the additional requirements primarily from pre-arranged sources throughout the United States and Canada.
9. During the response period, ESF #8 will evaluate and analyze medical and public health assistance requests and responses, and develop and update assessments of medical and public health status. ESF #8 will maintain accurate and extensive logs to support after-action reports and other documentation of the disaster conditions.
10. In the early stages of a disaster response, it may not be possible to fully assess the situation and verify the level of assistance required. In such circumstances, national ESF #8, in consultation with regional ESF #8, reserves the right to decide whether to authorize assistance. In these cases, every attempt will be made to verify the need before providing assistance.
11. ESF #8 will develop and provide medical and public health situation reports to the CDRG, EST, ERT, primary JIC, and organizations with a need for recurring reports of specific types of information including other ESFs, Federal agencies, and the State upon request. Information will be disseminated by all available means including fax, telephone, radio, memoranda, display charts and maps, and verbal reports at meetings and briefings.

B. Organization

1. National-Level Response Structure

a. ESF #8 response will be activated and directed by the ASH. The HHS EOC will become operational. The HHS EOC will consist of a core of Federal agencies that will be supplemented by other national-level organizations, governmental and private, as the situation dictates. During the initial activation, the principal core staff will consist of a pre-designated HHS EOC staff and representatives from the Assistant Secretary of Defense (Health Affairs), DOD; Under Secretary for Health, VA; and Director, FEMA.

b. Additional supporting agencies and organizations will be alerted and will be tasked either to provide a representative to the HHS EOC or to provide a representative who will be immediately available via telecommunications (telephone, fax, conference calls, etc.) to provide support.

c. HHS will identify and provide personnel to represent HHS and national ESF #8 both on the CDRG and the EST. HHS also will dispatch, as needed, emergency response coordinators and the national ESF #8 ERT to the disaster area to support the lead RHA with responsibility for the regional ESF #8.

d. Coordination of ESF #8 will be centralized at the HHS EOC.

e. Special advisory groups of health/medical subject matter experts will be assembled and consulted by national ESF #8 as needed.

2. Regional-Level Response Structure

a. The RHA, the lead for the regional ESF #8 health and medical response, will establish a regional ESF #8 Coordination Center (CC) and provide administrative support to the regional response activities. The HHS RD will assist the RHA by coordinating human services support required from the other HHS operating divisions located within the region.

b. The lead for regional ESF #8 will represent ESF #8 in its dealings with the Federal Coordinating Officer (FCO) and will maintain liaison with the FCO, the appropriate State and local health and medical officials, national ESF #8, and the HHS RD.

c. Regional ESF #8 will have appropriate representatives available to rapidly deploy, with the ERT-A, to the affected State's EOC or other designated location.

d. Regional ESF #8 will have appropriate representative(s) present or available by telephone or radio at the regional ESF #8 CC, and additionally at the ROC and/or Disaster Field Office (DFO), as required by the FCO, on a 24-hour basis for the duration of the emergency response period. Other representatives of the lead/support agencies will be available to staff the ROC and/or the DFO upon request of the lead of regional ESF #8.

C. Notification

1. Upon the occurrence of a potential major disaster or emergency, the FEMA National Emergency Coordination Center will notify the ESF #8 action agent (HHS/OEP). The affected FEMA region will notify the HHS RHA. Notification can be made via telephone, fax, or digital pagers. Such notification could be to advise of the potential disaster, convene the CDRG, request an ESF #8 representative to deploy as a regional ERT member, establish the EST at FEMA Headquarters, or pass a request from regional or State officials seeking activation of NDMS.

2. HHS/OEP will notify the ASH and request activation of ESF #8. HHS/OEP will alert its EOC staff, which in turn will notify the lead regional ESF #8 by telephone or radio, if possible. If the RHA or the appropriate representative cannot be contacted, the HHS RD will be notified and requested to advise the regional ESF #8 lead. If the HHS RD cannot be contacted, the ESF #8 lead of an adjacent region will be contacted and requested to assist in notifying and establishing the regional ESF #8 in the disaster area.

3. The HHS/OEP EOC staff also will notify all other national ESF #8 members by the most expeditious communications method.
4. Upon notification, ESF #8 members will notify their parent agencies. ESF #8 members will report to the appropriate location(s) as directed (such as HHS EOC, FEMA Headquarters, etc.) and regional ESF #8 members will report to the appropriate location(s) as directed (such as the ROC or DFO).

D. Response Actions

1. Initial Actions Following a Potential Major Disaster or Emergency

The HHS EOC will become operational within 2 hours of notification. Until the regional ESF #8 becomes operational, the collection, analysis, and dissemination of requests for medical and public health assistance will be the responsibility of national ESF #8, with the assistance of the HHS region. Upon declaration by the RHA that the regional ESF #8 CC is operational, the major responsibilities for requests for medical and public health assistance will be transferred to regional ESF #8. National ESF #8 will conduct the following actions while bringing ESF #8 to a fully operational status:

a. Federal health and medical assistance is generally categorized into the major functions of prevention, medical services, mental health services, and environmental health. Each of the 15 specific functional areas is contained in one of these categories. Upon notification of the occurrence of a potential major disaster or emergency, the lead of the national ESF #8 (the ASH) will request HHS and support agencies to initiate action immediately to identify and report the potential need for Federal health and medical support to the affected disaster area in the following functional areas:

(1) Assessment of Health/Medical Needs

Lead HHS Agency: Office of Public Health and Science/Office of Emergency Preparedness/National Disaster Medical System (OPHS/OEP/NDMS): Mobilize and deploy an assessment team to the disaster area to assist in determining specific health/medical needs and priorities. The composition of the assessment team will be jointly determined by the action agent and the operating agent based on the type and location of the emergency. This function includes the assessment of the health system/facility infrastructure.

(2) Health Surveillance

Lead HHS Agency: Centers for Disease Control and Prevention: Assist in establishing surveillance systems to monitor the general population and special high-risk population segments; carry out field studies and investigations; monitor injury and disease patterns and potential disease outbreaks; and provide technical assistance and consultations on disease and injury prevention and precautions.

(3) Medical Care Personnel

Lead HHS Agency: OPHS/OEP/NDMS: Provide Disaster Medical Assistance Teams (DMATs) and individual public health and medical personnel to assist in providing care for ill or injured victims at the location of a disaster or emergency. DMATs can provide triage, medical or surgical stabilization, and continued monitoring and care of patients until they can be evacuated to locations where they will receive definitive medical care. Specialty DMATs can also be deployed to address mass burn injuries, pediatric care requirements, chemical injury or contamination, etc. In addition to DMATs, Active Duty, Reserve, and National Guard units for casualty clearing/staging and other missions will be deployed as needed. Individual clinical health and medical care specialists may be provided to assist State and local personnel. The VA is one of the primary sources of these specialists.

(4) Health/Medical Equipment and Supplies

Lead HHS Agency: OPHS/OEP/NDMS: Provide health and medical equipment and supplies, including pharmaceuticals, biologic products, and blood and blood products, in support of DMAT operations and for restocking health and medical care facilities in an area affected by a major disaster or emergency.

(5) Patient Evacuation

Lead HHS Agency: OPHS/OEP/NDMS: Provide for movement of seriously ill or injured patients from the area affected by a major disaster or emergency to locations where definitive medical care is available. NDMS patient movement will primarily be accomplished utilizing fixed-wing aeromedical evacuation resources of DOD; however, other transportation modes may be used as circumstances warrant.

(6) In-Hospital Care

Lead HHS Agency: OPHS/OEP/NDMS: Provide definitive medical care to victims who become seriously ill or injured as a result of a major disaster or emergency. For this purpose, NDMS has established and maintains a nationwide network of voluntarily pre-committed, non-Federal, acute care hospital beds in the largest U.S. metropolitan areas.

(7) Food/Drug/Medical Device Safety

Lead HHS Agency: Food and Drug Administration: Ensure the safety and efficacy of regulated foods, drugs, biologic products, and medical devices following a major disaster or emergency. Arrange for seizure, removal, and/or destruction of contaminated or unsafe products.

(8) Worker Health/Safety

Lead HHS Agency: Centers for Disease Control and Prevention: Assist in monitoring health and well-being of emergency workers; perform field investigations and studies addressing worker health and safety issues; and provide technical assistance and consultation on worker health and safety measures and precautions.

(9) Radiological/Chemical/Biological Hazards Consultation

Lead HHS Agency: Centers for Disease Control and Prevention: Assist in assessing health and medical effects of radiological, chemical, and biological exposures on the general population and on high-risk population groups; conduct field investigations, including collection and analysis of relevant samples; advise on protective actions related to direct human and animal exposure, and on indirect exposure through radiologically, chemically, or biologically contaminated food, drugs, water supply, and other media; and provide technical assistance and consultation on medical treatment and decontamination of radiologically, chemically, or biologically injured/contaminated victims.

(10) Mental Health Care

Lead HHS Agency: Substance Abuse and Mental Health Services Administration: Assist in assessing mental health needs; provide disaster mental health training materials for disaster workers; and provide liaison with assessment, training, and program development activities undertaken by Federal, State, and local mental health officials.

(11) Public Health Information

Lead HHS Agency: Centers for Disease Control and Prevention: Assist by providing public health and disease and injury prevention information that can be transmitted to members of the general public who are located in or near areas affected by a major disaster or emergency.

(12) Vector Control

Lead HHS Agency: Centers for Disease Control and Prevention: Assist in assessing the threat of vector-borne diseases following a major disaster or emergency; conduct field investigations, including the collection and laboratory analysis of relevant samples; provide vector control equipment and supplies; provide technical assistance and consultation on protective actions regarding vector-borne diseases; and provide technical assistance and consultation on medical treatment of victims of vector-borne diseases.

(13) Potable Water/Wastewater and Solid Waste Disposal

Lead HHS Agency: Indian Health Service: Assist in assessing potable water and wastewater/solid waste disposal issues; conduct field investigations, including collection and laboratory analysis of relevant samples; provide water purification

and wastewater/solid waste disposal equipment and supplies; and provide technical assistance and consultation on potable water and wastewater/solid waste disposal issues.

(14) Victim Identification/Mortuary Services

Lead HHS Agency: OPHS/OEP/NDMS: Assist in providing victim identification and mortuary services, including NDMS Disaster Mortuary Teams (DMORTs); temporary morgue facilities; victim identification by fingerprint, forensic dental, and/or forensic pathology/anthropology methods; and processing, preparation, and disposition of remains.

(15) Veterinary Services

Lead HHS Agency: OPHS/OEP/NDMS: Assist in delivering health care to injured or abandoned animals and performing veterinary preventive medicine activities following a major disaster or emergency, including conducting field investigations and providing technical assistance and consultation as required.

b. National ESF #8 also will initiate the following alerting actions:

(1) Alert and deploy national ESF #8 representative(s) to the EST;

(2) Alert national ESF #8 representative(s) to be on standby to deploy to the disaster area as a member of the national ESF #8 ERT;

(3) Alert and deploy national ESF #8 Management Support Unit (MSU) to the disaster area to provide liaison and support to regional ESF #8. The MSU will be self-contained as much as possible (tents, sleeping bags, food, etc.) and will provide some long-distance communications support for direct connectivity between the regional and national ESF #8;

(4) Request HHS EOC to alert NDMS Response Resources to be on a standby basis;

(5) Through its DOD representative, alert the Global Patient Movement Requirements Center (GPMRC) to prepare to receive hospital bed availability reports. GPMRC will establish an appropriate reporting window;

(6) Through VA, DOD representatives, and appropriate VA and Military Services command and control systems, alert local NDMS Federal Coordinating Centers (FCCs) to obtain bed availability reports from the participating non-Federal hospitals and report bed status to GPMRC;

(7) Alert HHS Supply Service Center, Defense Logistics Agency, and other pre-identified sources of medical supplies to be on a standby basis;

(8) Alert national-level communications and transportation support agencies to be on a standby basis; and

(9) Determine from ESF #5 — Information and Planning the geographic area affected by the disaster and obtain weather information for the disaster area, including present conditions, the 24-hour forecast, and the long-range forecast.

c. National ESF #8 primary and support agency members will report to the HHS EOC and convene within 2 hours following notification. Alternatively, ESF #8 members may be directed to report to their usual offices within 2 hours and thereafter maintain continuous telephone communication with national ESF #8.

d. The HHS EOC DOD representative will activate the national-level DOD support network as required. This alerting may include, but not be limited to, the Director of Military Support (DOMS); Surgeons General of the Army, Navy, and Air Force; U.S. Transportation Command (USTRANSCOM); Air Mobility Command (AMC); National Guard Bureau (NGB); GPMRC; Forces Command (FORSCOM); U.S. Atlantic Command (USACOM); U.S. Pacific Command (USPACOM); U.S. Southern Command (USSOUTHCOM); Office of Civilian Health and Medical Program of the Uniformed Services (OCHAMPUS); Medical Readiness Division, Office of the Joint Chiefs of Staff (J-4/JCS); and other appropriate DOD components. DOMS, in coordination with the Services and JCS executive agents (i.e., Headquarters U.S. Air Force (HQUSAF) Surgeon General for GPMRC) will, in turn, notify Service FCCs and other Service components as appropriate.

2. Continuing Actions

a. Situation Assessment

(1) The national ESF #8 staff will continuously acquire and assess information about the disaster situation. The staff will continue to attempt to identify the nature and extent of health and medical problems, and establish appropriate monitoring and surveillance of the situation to obtain valid ongoing information. National ESF #8 will primarily rely on information from the disaster area that is furnished by regional ESF #8. Other sources of information may include national ESF #8 support agencies, various Federal officials in the disaster area, State health officials, State emergency medical services (EMS) authorities, State disaster authorities, or the responsible jurisdiction in charge of the disaster scene. Information also may be acquired from Federal officials outside the disaster area, such as local NDMS FCCs, FEMA Regional Offices, and HHS Regional Offices.

(2) Because of the potential complexity of the health and medical response issues/situations, conditions may require special advisory groups of subject matter experts to be assembled by national ESF #8 to review health/medical intelligence information and advise on specific strategies to most appropriately manage and respond to a specific situation.

b. Activation of Health/Medical Response Teams

(1) By direction of the ASH, health personnel/teams from HHS will be deployed as needed, and appropriate medical and public health (including environmental health) assistance will be provided. NDMS DMATs will be activated and deployed as needed. The HHS EOC will respond to the direction by arranging for alerting, activation, appointment to Federal status (where appropriate), and deployment of NDMS DMATs. The HHS EOC, in cooperation with the MSU (when established), will coordinate and arrange for the necessary transportation and logistic support for the DMATs. DMATs may be activated for provision of patient reception, patient staging, casualty clearing, or other medical care activities in meeting the needs of the situation.

(2) Certain military medical units, including Active Duty, Reserve, and National Guard, may be tasked to deploy to support ESF #8 requirements. These requirements will be coordinated with the NDMSOSC DOD representative, who will coordinate with DOMS to activate and deploy the necessary military units. VA assets that are available for response activities include the Medical Emergency Radiological Response Teams (MERRTs) and the Emergency Medical Response Teams (EMRTs). The VA is also able to mobilize health professionals who are not necessarily part of a formal "team," depending on ESF #8 requirements.

c. Coordination of Requests for Medical Transportation

Arrangements for medical transportation should be made at the lowest levels possible. Normally, local transportation requirements are to be handled by local authorities. If it is determined by regional ESF #8 that local or regional resources are inadequate to meet the requirements, a request for Federal medical transportation assistance will be worked at the national ESF #8 level by use of the patient evacuation component of NDMS. Patient regulation will be the responsibility of GPMRC.

d. Coordination of Requests for Medical Facilities

Arrangements for medical facilities are primarily a local function. Requests for additional assistance should first be referred to State authorities. Requests by State officials for Federal aid for NDMS hospital support should be routed through regional ESF #8 to the NDMSOSC. The NDMSOSC will verify the request and refer it to the DOD and VA representatives. The VA and DOMS, through their Service representatives, will notify NDMS FCCs to activate area operations/patient reception plans. HQUSAF will alert GPMRC regarding NDMS activation. GPMRC will establish and disseminate appropriate bed reporting instructions to the FCCs. Further, the 375th Aeromedical Evacuation Squadron/Aeromedical Evacuation Control Center (AECC), Scott Air Force Base, IL (formerly the Patient Airlift Center), will provide appropriate patient reception/patient arrival information to GPMRC and local FCCs. Local FCCs, through their patient reception teams, will distribute arriving patients to specific NDMS-participating hospitals based on the patients' needs and facility capability.

e. Coordination of Requests for Aeromedical Evacuation of Patients from the Disaster Area

(1) State and local health/medical authorities identify the need for patient evacuation support from the disaster area. The requirement for aeromedical evacuation (AE) is communicated through regional ESF #8 to the NDMSOSC. The DOD representative in the NDMSOSC, in turn, will coordinate with the appropriate commands, such as FORSCOM, USTRANSCOM, USACOM, USPACOM, USSOUTHCOM, and/or HQAMC Command Centers. The agency contacted will then coordinate with the appropriate supporting command to obtain the needed support.

(2) The concept of operation is for local authorities to operate Casualty Collection Points (CCPs) that will feed into State-operated Regional Evacuation Points (REPs). ESF #8 will coordinate the hand-off of patients from the REPs into the NDMS patient evacuation system.

(3) Patient regulating is the responsibility of GPMRC. Because the movement of patients is based upon the availability of hospital beds, GPMRC will receive patient requirements from the disaster area and regulate patients to destination reception areas that report available beds. Regional ESF #8 will establish a Patient Reporting Activity (PRA) to report the number of patients requiring movement out of the area to GPMRC. Patients will be reported in the specified contingency categories. FCCs will likewise report available beds in the same contingency categories. Once the regulating decision is made, GPMRC will pass it to the PRA and the receiving FCCs. After receipt by the PRA, regional ESF #8 will coordinate with the State to have the patients moved. GPMRC can provide Joint Patient Movement Team(s) (JPMTs) that can manage patient regulating activities from the disaster site.

(4) AE resources will be deployed based on the nature of the disaster or emergency and estimated length of support requirement. In a limited operation, support may be restricted to providing Aeromedical Evacuation Crew Members (AECMs), airlift, and/or liaison personnel, with centralized management remaining with the AECC, Scott Air Force Base. In a larger or more prolonged event that may require sustained support, elements of the Tactical Aeromedical Evacuation System (TAES), to include an Aeromedical Evacuation Control Element (AECE), Mobile Aeromedical Staging Facility (MASF), Aeromedical Evacuation Liaison Team (AELT), and AECMs, may be deployed to the region. When deployed, the AECE will provide regional control for the AE elements, with overall responsibility for continental United States (CONUS) AE operations remaining with the AECC, Scott Air Force Base. Outside the continental United States (OCONUS), overall responsibility will rest with the appropriate military command — Commander-in-Chief Atlantic (CINCLANT), Commander-in-Chief Pacific (CINCPAC), or USSOUTHCOM — having military support responsibility for the geographic area of the disaster/emergency.

(a) An AELT could deploy to the REPs to provide a direct high frequency radio communications link and immediate coordination between the REP originating the requirements for aeromedical evacuation and the AECC. The primary mission of the AELT is to coordinate patient movement requests and the movement schedule between the AECC and the REP.

(b) The AECC is the operations center responsible for mission planning, coordinating, and management of the disaster area AE operations. The AECC establishes and is the focal point for communications and provides the source of direction and control for disaster area AE forces.

(c) The MASF is a mobile, tented, temporary staging facility deployed to provide supportive care and administration. It does not have beds or cots. Since it has no organic patient-carrying vehicles, it is normally located near runways, taxiways, or airfields.

(d) The AECMs provide in-flight supportive medical care aboard AE mission-directed aircraft.

(e) Control teams will be deployed to identify the closest appropriate hub site to the REP that can handle the AE aircraft, which is normally a C-9 or C-130. Aeromedical staging capability (utilizing a joint operation between military MASFs and NDMS DMATS) will be established near the runways or taxiways of the designated airfield or forward operating base. The regulated patients are then moved from the REP to the aeromedical staging location for entrance into the AE system and movement to the regulated destination.

(f) The AELT, AECC, and MASF have equipment and personnel to establish a communications network in support of the system. The AECC functions as the net control for the various elements.

(g) If AE elements are not deployed to the disaster area, personnel/ medical facilities reporting patient movement requirements should be prepared to provide as much medical information on patients as is known, e.g., current condition, diagnosis, vital signs, any special equipment requirements. A point of contact should be provided so the AECC can obtain any additional information needed to prepare for the mission.

(h) If State or local authorities request patient evacuation but are unable to establish REPs and/or CCPs, ESF #8 will deploy the necessary additional medical force structure to facilitate the lowest echelon level of care required to accomplish the mission successfully.

f. Coordination for Obtaining, Assembling, and Delivering Medical Equipment and Supplies to the Disaster Area

Representatives of HHS, VA, DOD, Department of Transportation (DOT), and General Services Administration will coordinate arrangements for the procurement and transportation of medical equipment and supplies to the disaster area. A "push" concept will be employed when feasible to expedite medical resupply to the disaster area from pre-identified medical supply caches. Included in this response will be the HHS-requested support, as needed, of certain medical supplies.

g. Communications

National ESF #8 will establish communications necessary to effectively coordinate assistance.

h. Information Requests

Requests for information may be received at ESF #8 from various sources, such as the media and the general public, and they will be referred to the appropriate agency or JIC for response.

i. After-Action Reports

The HHS/OEP will, upon completion of the emergency, prepare a summary after-action report. The after-action report, which summarizes the major activities of ESF #8, will identify key problems, indicate how they were solved, and make recommendations for improving response operations in subsequent activations. Support agencies will assist in the preparation of the after-action report and endorse the final report.

V. Responsibilities

A. Primary Agency: Department of Health and Human Services

1. Provide leadership in directing, coordinating, and integrating overall Federal efforts to provide medical and public health assistance to the affected area;
2. Direct the activation of NDMS and the staffing of the HHS EOC as necessary to support the emergency response operations;
3. Direct the activation and deployment of health/medical personnel, equipment, and supplies in response to requests for Federal health/medical assistance;
4. Coordinate the evacuation of patients from the disaster area when evacuation is deemed appropriate by State authorities;
5. Coordinate the provision of definitive health care through NDMS; and
6. Provide human services assistance under the direction of the HHS RD.

B. Support Agencies

1. Department of Agriculture, Forest Service

Provide appropriate personnel, equipment, food, and supplies, coordinated through the National Fire Suppression Liaison Officer or representative, Fire and Aviation Management Office (located in Washington, DC), and the National Interagency Coordination Center (NICC) located in Boise, ID. Support will be primarily for communications and aircraft and the establishment of base camps for deployed Federal health and medical teams in the disaster area.

2. Department of Defense

a. Alert GPMRC to provide DOD NDMS FCCs (Army, Air Force, and Navy) and VA NDMS FCCs reporting/regulating instruction to support disaster relief efforts;

b. Alert DOD NDMS FCCs to activate NDMS area operations/patient reception plans; initiate bed reporting based on GPMRC instructions;

c. In coordination with NDMSOSC, evacuate and manage patients as required from the disaster area to NDMS patient reception areas;

d. In coordination with DOT and other transportation support agencies, transport medical personnel, equipment, and supplies into the disaster area;

e. Provide logistical support to health/medical response operations;

f. Provide Active Duty medical units for casualty clearing/staging and other missions as needed, including aeromedical evacuation; mobilize and deploy Reserve and National Guard medical units, when authorized and necessary to provide support;

g. Coordinate patient reception and management in NDMS areas where military treatment facilities serve as local NDMS FCCs;

h. Provide military medical personnel to assist HHS in activities for the protection of public health (such as food, water, wastewater, solid waste disposal, vectors, hygiene, and other environmental conditions);

i. Provide available DOD medical supplies for distribution to mass care centers and medical care locations being operated for disaster victims;

j. Provide available emergency medical support to assist State and local governments within the disaster area. Such services may include triage, medical treatment, and the utilization of surviving DOD medical facilities within the disaster area;

k. Provide assistance in managing human remains, including victim identification and disposition;

l. Provide technical assistance, equipment, and supplies through the U.S. Army Corps of Engineers, as required, in support of HHS to accomplish temporary restoration of damaged public utilities affecting public health;

m. Immediately notify the Surgeons General of the Army, Air Force, and Navy if there is a likelihood that their support may be required; and

n. Provide technical facility and clerical expertise to assess the physical condition of the medical treatment facilities.

3. Department of Energy

a. Through the Radiation Emergency Assistance Center/Training Site (REAC/TS):

(1) Provide 24-hour direct and/or consulting assistance in assessing and treating the health and medical effects of radiological exposure and contamination involving general and high-risk populations;

(2) Offer intensive training to health professionals in medical management for radiological accidents;

(3) Provide counseling to victims of radiological accidents; and

(4) Provide technical advice and assistance regarding the handling and disposition of radiologically contaminated remains.

b. Through the Radiological Assistance Program (RAP):

(1) Provide regional resources (personnel, specialized equipment, and supplies) to evaluate, control, and mitigate radiological hazards to workers and the public;

(2) Assist in the decontamination of victims; and

(3) Assist State and local authorities in the monitoring and surveillance of the accident area.

c. Through the Atmospheric Release Advisory Capability (ARAC), provide real-time transport, dispersion, and dose predictions of atmospheric releases of radioactive and hazardous materials that can be used by authorities in taking protective actions related to sheltering and evacuation of people.

d. Through the Federal Radiological Monitoring and Assessment Center (FRMAC), to assist health and medical authorities in determining radiological dose information, provide coordinated gathering of radiological information and data; consolidated data sample analyses, evaluations, assessments, and interpretations; and technical information.

4. Department of Justice

a. Assist in victim identification, coordinated through the Federal Bureau of Investigation (FBI) Headquarters in Washington, DC;

b. Provide State and local governments with legal advice concerning the identification of the dead;

c. Provide HHS/OEP with relevant intelligence information of any credible threat or other situation that could potentially threaten public health. This support will be coordinated through FBI Headquarters in Washington, DC; and

d. Provide communication, transportation, and other logistical support to the extent possible. This support is provided through the FBI.

5. Department of Transportation

a. Assist in identifying and arranging for all types of transportation, such as air, rail, marine, and motor vehicle;

b. Assist in identifying and arranging for utilization of U.S. Coast Guard (USCG) aircraft in providing urgent airlift support when not otherwise required by ESF #1 — Transportation or the USCG;

c. Provide casualty distribution assistance from DOT resources subject to DOT statutory requirements; and

d. Coordinate with the Federal Aviation Administration for air traffic control support for priority missions.

6. Department of Veterans Affairs

a. Alert VA NDMS FCCs to activate NDMS area operations/patient reception plans, initiate bed reporting based on GPMRC instructions, and coordinate patient reception, management, and the provision of inpatient care through NDMS hospitals in areas where VA medical centers serve as local NDMS FCCs;

b. Assist in providing medical support to State and local governments within the disaster area. Such services may include triage, medical treatment, and the utilization of surviving VA medical centers within the disaster area;

c. Provide available medical supplies for distribution to mass care centers and medical care locations being operated for disaster victims; and

d. Provide assistance in managing human remains, including victim identification and disposition.

7. Agency for International Development, Office of Foreign Disaster Assistance

Provide assistance in coordinating international offers for health/medical support.

8. American Red Cross

a. Provide emergency first aid, supportive counseling, health care for minor illnesses and injuries to disaster victims in mass care shelters, DFOs, selected disaster cleanup areas, and other sites deemed necessary by the primary agency;

b. Assist community health personnel subject to the availability of staff;

c. Provide supportive counseling for the family members of the dead and injured;

d. Provide available personnel to assist in temporary infirmaries, immunization clinics, morgues, hospitals, and nursing homes;

e. Acquaint families with available health resources and services, and make appropriate referrals;

f. Provide blood and blood products through regional blood centers at the request of the appropriate agency; and

g. Provide coordination for uploading appropriate casualty/patient information from ESF #8 into the DWI system.

9. Environmental Protection Agency

Provide technical assistance and environmental information for the assessment of the health/medical aspects of situations involving hazardous materials.

10. Federal Emergency Management Agency

a. Assist NDMS in establishing priorities for application of health and medical support;

b. Assist in providing NDMS communications support;

c. Assist in providing information/liaison with emergency management officials in NDMS FCC areas; and

d. Provide logistics support as appropriate.

11. General Services Administration

Provide facilities, equipment, supplies, and other logistical support, including the acquisition of private sector ground and air transportation.

12. National Communications System

Provide communications support for medical command and control. This support will be coordinated through the Office of the Manager.

13. U.S. Postal Service

Assist in the distribution and transportation of medicine and pharmaceuticals to the general public affected by a major disaster or emergency as needed.

VI. References

A. DOD Directive 6010.17, National Disaster Medical System, December 28, 1988.

B. DOD Directive 3025.1, Military Support to Civil Authorities, January 15, 1993.

C. 55 FR 2885, Office of the Assistant Secretary for Health; Statement of Organization, Functions, and Delegations of Authority, January 29, 1990.

D. 55 FR 2879, Office of the Secretary; Statement of Organizations, Functions, and Delegations of Authority, January 29, 1990.

E. Public Health Service Disaster Response Guides, May 1987.

F. Facts on the National Disaster Medical System, February 1995.

G. National Disaster Medical System — Concept of Operations, January 1991.

H. National Disaster Medical System — Operations Support Center Manual, April 1991.

I. National Disaster Medical System — Federal Coordinating Center Guide, January 1992.

J. National Disaster Medical System — Disaster Medical Assistance Team Organization Guide, May 1992.

K. The Public Health Consequences of Disasters, Centers for Disease Control, U.S. Public Health Service, September 1989.

L. 61 FR 21470, Office of the Secretary; Statement of Organization, Functions, and Delegations of Authority, May 10, 1996.

M. 60 FR 56605, Office of the Secretary and Public Health Services; Statement of Organization, Functions, and Delegations of Authority, November 9, 1995.

This page intentionally left blank.

Emergency Support Function #9
Urban Search and Rescue Annex

Primary Agency:	Federal Emergency Management Agency
Support Agencies:	Department of Agriculture Department of Defense Department of Health and Human Services Department of Justice Department of Labor Agency for International Development National Aeronautics and Space Administration

I. Introduction

A. Purpose

Emergency Support Function (ESF) #9 — Urban Search and Rescue rapidly deploys components of the National Urban Search and Rescue (US&R) Response System to provide specialized lifesaving assistance to State and local authorities in the event of a major disaster or emergency. US&R operational activities include locating, extricating, and providing on-site medical treatment to victims trapped in collapsed structures.

B. Scope

The National US&R Response System is an integrated system of US&R task forces, Incident Support Teams (ISTs), and technical specialists.

1. The system is built around a core of task forces prepared to deploy immediately and initiate US&R operations on implementation of ESF #9 of the Federal Response Plan (FRP). These task forces are staffed primarily by local fire department and emergency services personnel who are experienced and trained in collapsed structure search and rescue operations. On activation by the Federal Emergency Management Agency (FEMA), US&R task forces become Federal assets.
2. ISTs provide coordination and logistical support to US&R task forces during emergency operations. They also conduct needs assessments and provide technical advice and assistance to State and local government emergency managers. Teams are formed with personnel from US&R task forces; Federal, State, and local government emergency response organizations; and private sector organizations.
3. Technical specialists provide expertise in various US&R disciplines. They are mobilized as needed from around the United States.

II. Policies

A. The National US&R Response System assists and augments State and local US&R capabilities. Personnel assigned to task forces of the National US&R Response System are highly trained and may possess specialized expertise and equipment not available to local responders.

B. As primary agency for ESF #9, FEMA develops national US&R policy, provides planning guidance and coordination assistance, standardizes task force procedures, evaluates task force operational readiness, funds special equipment and training requirements, and reimburses task force costs incurred as a result of deployment under the FRP.

C. ESF #9 addresses only urban search and rescue. All other forms of search and rescue (e.g., water, wilderness, subterranean) are managed under different authorities and do not fall under the functional purview of the ESF.

III. Situation

A. Disaster Condition

Disasters and emergencies vary widely in scope, degree of devastation, and threat to human life. For example:

1. In situations that entail structural collapse, large numbers of people may require rescue and medical care.
2. Because the mortality rate among trapped victims rises dramatically after 72 hours, US&R must be initiated without delay.
3. In the course of response, rescue personnel may encounter extensive damage to the local infrastructure, such as buildings, roadways, public works, communications, and utilities. Such damage can create environmental safety and health hazards, such as downed power lines, unsafe drinking water, and unrefrigerated food.
4. Following an earthquake, aftershocks, secondary events, and/or other hazards (such as fires, tsunami, landslides, flooding, and hazardous materials releases) may compound problems and threaten both disaster victims and rescue personnel.
5. Weather conditions such as temperature extremes, snow, rain, and high winds may pose additional hazards for disaster victims and rescue personnel.
6. In some circumstances, rescue personnel may be at risk from terrorism, civil disorder, or crime.

B. Planning Assumptions

In a major disaster requiring Federal US&R assistance:

1. State and local US&R organizations will be overwhelmed and will not be able to respond to all requirements.

2. Local residents, workers, and/or converging volunteers may initiate search and rescue efforts, but will usually lack specialized equipment and training. Spontaneous volunteers will require coordination and direction within the local incident command structure.
3. Access to damaged areas will be limited. Some sites may be initially accessible only by air or water.
4. Following an earthquake, both disaster victims and rescue personnel may be threatened by aftershocks, secondary events, and/or other environmental disturbances.

IV. Concept of Operations

A. General

FEMA, as primary agency for ESF #9, will activate the National US&R Response System for any incident or anticipated incident that is determined likely to result in collapsed structures that would overwhelm existing State and local US&R resources. The likelihood of activation depends on the nature and magnitude of the event, the suddenness of onset, and the existence of US&R resources in the affected area.

B. Organization

1. National-Level Response Structure

a. The National US&R Response System consists of US&R task forces, Incident Support Teams, and technical specialists. More than 5,000 individuals make up the national system. At the core of the system are 27 task forces sponsored by State and local government emergency response organizations and formed into a coherent, nationally deployable resource by FEMA. Each task force is composed of 62 individuals organized into 31 positions. The positions are organized into five functional teams (management, search, rescue, medical, and technical), with each team staffed to permit around-the-clock operations.

b. ISTs are organized, trained, and mobilized by FEMA Headquarters. In a disaster, one or more ISTs may be dispatched to the affected area to:

(1) Conduct a comprehensive US&R needs assessment;

(2) Provide technical US&R assistance, support, and advice to Federal, State, and local officials;

(3) Provide US&R management and coordination assistance and expertise to the Emergency Support Team (EST) ESF #9 Leader, the Emergency Response Team (ERT) ESF #9 Leader, and the Federal Coordinating Officer at the Disaster Field Office (DFO);

(4) Under the direction of the ERT ESF #9 Leader, provide coordination of the operations of multiple task forces in the field; and

(5) Coordinate logistical support of deployed task forces beyond their initial 72-hour period of self-sufficiency with the Regional Operations Center (ROC), ERT, and EST Logistics Sections, ensuring compliance with FEMA property management procedures.

c. Task force and IST resources may be supplemented with technical specialists in various US&R disciplines. When needed, technical specialists are mobilized by FEMA Headquarters.

2. Regional-Level Response Structure

Initial Federal field response to incidents that may require US&R assistance usually begins at the regional level. Each FEMA Regional Office is responsible for staffing an ESF #9 position on its ERT. The Emergency Services Branch Chief or Operations Section Chief on the Advance Element of the ERT (ERT-A) may perform initial ESF #9 functions. Extended US&R operations will require supplemental staffing and deployment of national-level resources by FEMA Headquarters.

C. Notification

1. Headquarters

a. Notification of incidents with the potential for structural collapse may be received by FEMA Headquarters from a number of sources, including FEMA's National Emergency Coordination Center, Mobile Emergency Response Support (MERS) Detachment Operations Centers, regional offices, national news media, State or local governments, and National US&R Response System members. Upon notification of an incident, US&R Response System staff will immediately notify ESF #9 EST staff, support contractors, FEMA's Military Support Liaison Officer, and the Department of Health and Human Services' Office of Emergency Preparedness of a potential need for US&R response. EST staff also will notify FEMA's Office of Financial Management of the potential need to activate task force, IST, and EST support agreements.

b. When the need for US&R assets has not firmly been established, the EST may issue an Advisory to all National US&R Response System task forces, indicating that an event has occurred that may require the deployment of US&R assets. EST staff may also begin alerting IST regular or Advance Element (IST-A) staff of the potential for immediate deployment. Activation Orders for IST or IST-A staff will be issued by the EST when required.

c. As soon as the need for US&R assets has been established, EST staff will develop recommendations for FEMA management on the type and quantity of resources to be alerted or activated. When approved, Activation Orders for task forces and IST members will be issued by the EST Director. Activation Orders specify that task forces should fully mobilize and be prepared to depart from their

pre-designated Point of Departure airfield within 6 hours. In addition to activation of task forces and IST members, additional task forces may be issued Alert Orders, placing them in a state of heightened readiness to respond if subsequently activated. Alert Orders will generally state the time frame within which activation decisions are expected.

2. Regions

If not previously notified, EST staff will notify the FEMA Regional Office responsible for the affected area. Copies of all Advisories and Alert and Activation Orders issued by the EST will be transmitted to the regional US&R point of contact for the affected region, as well as for those regions whose resident task forces have been alerted or activated. Generally, the regional US&R point of contact for the affected region will maintain close contact with the EST and the ERT-A during the initial response period. Initial recommendations on US&R resources to be alerted or activated will be coordinated with the regional US&R point of contact. Regional US&R points of contact for regions with alerted or activated task forces will generally be in contact with the sponsoring States and the task forces themselves.

D. Response Actions

1. Initial Actions

a. Headquarters

(1) Immediately following initiation of operations, EST staff in the ESF #9 cell will establish and maintain a chronological log of US&R events and information obtained from the field. During the initial stages of the disaster or emergency, the EST will serve as the single point of contact for responding task forces and IST members for situation information and response status of US&R resources.

(2) Initial staff in the EST will develop commitment documents and activate support agreements for supplemental staffing of the ESF #9 cell in the EST. The level of staffing will depend on the nature and magnitude of the incident and the response actions already underway.

(3) When Alert and Activation Orders are issued to task forces and IST members, EST staff will develop commitment documents to ensure that response costs are reimbursed, in accordance with task force memorandums of agreement and support agreements for the reimbursement of IST members.

(4) EST staff will ensure that passenger manifests are prepared by the task forces and ISTs and forwarded to the EST for record-keeping purposes. A related requirement is the verification that documentation required for legal and liability purposes (e.g., Application for Federal Employment, Appointment Affidavit, Employee Transmittal Sheet) is on file for each

individual being deployed. If required documentation is not on file, EST staff will work directly with task force leaders and IST Commanders to obtain it prior to deployment of the task force or IST. This documentation ensures that legal protections are available to all responders.

(5) EST staff will also prepare Requests for Federal Assistance (RFAs) that generate mission assignments for air transport of task forces from their pre-designated departure airfields to Base Support Installations, mobilization centers, or other aerial ports of debarkation designated by the ERT. These RFAs will be coordinated with ESF #1 — Transportation and the Movement Coordination Center at FEMA Headquarters. IST members normally deploy via commercial air carriers; however, unique circumstances of a particular disaster or emergency may result in issuance of mission assignments to other Federal agencies for their transport. Ground transport of task force and IST members within the affected area may involve the use of commercial or Federal carriers between any of the following locations, as the situation dictates: aerial port of debarkation, Base Support Installation, mobilization center, staging area, operating site(s).

(6) EST staff will also develop cost estimates and commitment documents to provide funding for commercial credit cards that have been issued to selected ESF #9 Leaders within the National US&R Response System. These credit cards are used to support immediate needs that arise during task force and IST deployments. They provide limited interim procurement authority until ESF #9 resources in the field can be fully integrated into a functioning DFO staffed with qualified procurement specialists.

(7) EST staff will collect assessment information from damage assessment teams, IST-A members, FEMA regional officials, and State and local government officials for inclusion in situation reports and for decision making regarding the need for US&R resources.

b. Regions

(1) At the onset of the disaster or emergency, FEMA officials from the affected region will designate an initial point of contact for ESF #9. This individual will generally be part of the ERT, and may be represented on the ERT-A. While US&R task forces and ISTs are activated at the national level, the regional ESF #9 contact has a critical role in providing information on the need for US&R resources. Regional officials have the lead role in processing State requests for Federal US&R assistance.

(2) The regional ESF #9 Leader also will take the lead in preparing for the arrival of task forces and IST members and ensuring that the IST is fully incorporated into the region's ERT structure. The regional ESF #9 Leader will provide overall management and coordination of all deployed US&R resources through the IST. The ESF #9 Leader will coordinate all US&R activities with the functional groups of the ERT. The ESF #9 Leader will keep the ESF #9 Leader in the EST informed of all US&R field activities.

2. Continuing Actions

a. Headquarters

(1) Based on recommendations developed by the ESF #9 Leader in the field and the IST, decisions will be made at the national level on the deployment of additional US&R resources. EST staff will issue additional Advisories and Alert and Activation Orders as required.

(2) In the event that the disaster requires the utilization of all national-level US&R assets, the EST will be responsible for developing strategies for providing additional US&R support, including the use of international US&R assets, the deployment of other task forces from existing sponsoring organizations (without equipment), and the employment of US&R resources of unaffected States.

(3) The EST will act on unmet requirements for equipment and supplies that have been forwarded from the ESF #9 Leader in the field. The EST will forward issues involving competing requirements and scarce resource allocation to the Catastrophic Disaster Response Group (CDRG) as appropriate.

(4) The EST will use the demobilization plan developed by the IST as the basis for decisions on demobilization of US&R assets. Based on these decisions, the EST will issue Demobilization Orders to task forces and IST members. Demobilization Orders will include specific guidelines on personnel and equipment rehabilitation allowances for US&R assets. When coordinated with the EST, Demobilization Orders may be issued by the ERT.

b. Regions

(1) The ESF #9 Leader and IST Commander will establish contact with the local Incident Commander and develop a plan to integrate national US&R resources into the local incident command structure. The ESF #9 Leader will work with the local Incident Commander to develop written delegations of authority to national US&R resources as appropriate.

(2) In the event State and local emergency medical services resources are overwhelmed, the ESF #9 Leader on the ERT, in conjunction with the IST Commander and IST Medical Unit Leader, will coordinate with field representatives of ESF #8 — Health and Medical Services to develop procedures for the transfer of victims extricated from collapsed structures to Disaster Medical Assistance Teams (DMATs) for stabilization and transport to definitive medical care locations.

(3) The IST will develop a mechanism for resupply of task forces operating in the affected area. The ESF #9 Leader will work with regional ESFs to obtain required equipment and supplies. The ESF #9 Leader will pass unmet or competing requirements to the EST for further action.

(4) The ESF #9 Leader, in conjunction with the IST Commander, will continually monitor the situation and develop recommendations on additional resources needed, as well as demobilization of existing resources. The IST will develop a demobilization plan for the concurrence of the ESF #9 Leader. The demobilization plan will include recommended guidelines on personnel and equipment rehabilitation allowances for US&R assets. Recommendations contained in the demobilization plan will be passed to the EST for decision making at the national level.

(5) For incidents of extended duration, the ESF #9 Leader will issue a funding document to ensure feeding, shelter, salary reimbursement, and other logistical support of US&R task force and IST resources when required.

V. Responsibilities

A. Primary Agency: Federal Emergency Management Agency

1. Serve as national-level ESF #9 coordinator;
2. Establish, maintain, and manage the National US&R Response System. This responsibility includes pre-disaster activities such as training, equipment purchase, and evaluation of operational readiness;
3. Dispatch one or more ISTs to the affected area(s);
4. Manage US&R task force deployment to, employment in, and redeployment from the affected area;
5. Coordinate logistical support for US&R assets during field operations;
6. Develop policies and procedures for the effective use and coordination of US&R assets; and
7. Provide status reports on US&R operations throughout the affected area.

B. Support Agencies

1. Department of Agriculture, Forest Service

a. Develop standby agreements with US&R task forces to provide equipment and supplies from the National Interagency Cache System at the time of deployment; and

b. Develop contingency plans for use of National Interagency Fire Center contract aircraft by ESF #9 during disasters.

2. Department of Defense

a. Serve as primary source for the following assistance:

(1) Fixed-wing transportation of US&R task forces and ISTs from base locations to mobilization centers or Base Support Installations. Target time frame for airlift missions is 6 hours from the time of task force activation;

(2) Rotary-wing transportation of US&R task forces and ISTs to and from isolated, surface-inaccessible, or other limited-access locations;

(3) Through the U.S. Army Corps of Engineers, provide trained Structures Specialists and System to Locate Survivors (STOLS) teams to supplement resources of US&R task forces and ISTs; and

(4) Through the U.S. Army Corps of Engineers, provide pre-disaster training for US&R task force and IST Structures Specialists;

b. Serve as secondary source for the following assistance:

(1) Ground transportation of US&R task forces and ISTs within the affected area;

(2) Mobile feeding units for US&R task forces and IST personnel; and

(3) Portable shelter (i.e., tents) for use by US&R task force and IST personnel for eating, sleeping, and working.

3. Department of Health and Human Services

a. Provide administrative support to US&R task force medical teams to:

(1) Ensure that medical team personnel who are not Federal employees have appropriate and valid licenses to practice in their States, and that they are provided Federal tort claims liability coverage for the practice of medicine;

(2) Develop an appropriate pay scale for US&R task force medical team personnel and obtain FEMA concurrence; and

(3) Register medical teams of each National US&R Response System task force as specialized teams under the National Disaster Medical System (NDMS);

b. Provide operational support to US&R task force medical teams and IST from ESF #8 — Health and Medical Services, as requested by FEMA, to provide liaisons; medical supplies, equipment, and pharmaceuticals; supporting personnel; and veterinary support; and

c. Provide NDMS patient evacuation and continuing care after entrapped victims are removed from collapsed structures by US&R task force personnel, when State and local emergency medical services resources are overwhelmed.

4. Department of Justice

a. Provide assistance with the development and maintenance of tort liability claims coverage for US&R task force and IST personnel while they are engaged in training, mobilization, deployment, and field operations; and

b. Provide Federal Tort Claims Act guidance and claims resolution services in support of US&R training activities and field deployments.

5. Department of Labor

a. Provide assistance with the development and maintenance of workers' compensation programs for US&R task force and IST personnel while they are engaged in training, mobilization, deployment, and field operations;

b. Provide workers' compensation guidance and claims resolution services during and following US&R field deployments;

c. Provide skilled claims specialists during US&R field deployments; and

d. Provide policy guidance, interpretation, and assistance on compliance with Federal Occupational Safety and Health Administration regulations both before and during US&R field deployments.

6. Agency for International Development, Office of Foreign Disaster Assistance

Act as the single U.S. Government point of contact for coordinating the use of international search and rescue resources.

7. National Aeronautics and Space Administration

a. Provide personnel in appropriate technical disciplines to support US&R task forces and ISTs;

b. Provide and maintain training sites for use of US&R task forces and IST members;

c. Assist FEMA with identification as well as research and development of new technologies for technical search; and

d. Provide temporary use of facilities for mobilization centers and staging areas for US&R assets.

VI. References

A. FEMA Urban Search and Rescue Response System — Field Operations Guide, September 1993.

B. FEMA Urban Search and Rescue Response System — Operational System Description and Mission Operational Procedures, July 1992.

C. FEMA Urban Search and Rescue Response System — US&R Incident Support System Operational System Description, Interim Document, June 1996.

D. Emergency Support Team Operations Handbook, Draft, September 1996.

VII. Terms and Definitions

A. Aerial Port of Debarkation

Arrival airfield in or near the area affected by the disaster or emergency. In the National US&R Response System, also known as the Point of Arrival.

B. Aerial Port of Embarkation

Departure airfield in the vicinity of a US&R task force's home base. In the National US&R Response System, also known as the Point of Departure.

C. Base Support Installation

Any military installation of any service or agency designated by the Department of Defense to provide civil authorities with specified, integrated support of disaster operations. The installation is normally located outside, but within relative proximity to, the disaster area.

D. Disaster Medical Assistance Team (DMAT)

The basic deployable unit of the National Disaster Medical System, which is administered by the Department of Health and Human Services. Staffed with physicians, nurses, other health care professionals, and support staff, DMAT capabilities include triage and stabilization of patients at a disaster site and provision of austere medical services at transfer points during transport to definitive medical care locations.

E. Incident Support Team (IST)

An overhead team used to conduct needs assessments, provide technical advice and assistance to State and local government emergency managers, coordinate the activities of multiple US&R task forces in the field, and provide logistical support for US&R task forces beyond their initial 72-hour period of self-sufficiency. The IST reports to the ESF #9 Leader on the ERT.

F. Incident Support Team — Advance Element (IST-A)

An advance element of the IST, utilized to conduct needs assessments, provide technical advice and assistance to State and local government emergency managers, and prepare for incoming US&R task force and IST resources. The IST-A reports to the IST Commander.

G. Memorandum of Agreement (MOA)

Tripartite written agreement between FEMA, the sponsoring organization for the US&R task force of the National US&R Response System, and the State of the sponsoring organization. The MOA outlines responsibilities of each signatory in the event of an activation of the National US&R Response System. The MOA serves as the basis for reimbursement of task force operational expenditures during activation.

H. Mobilization Center

A temporary facility at which emergency services personnel and equipment are temporarily located pending assignment, release, or reassignment. A Base Support Installation may serve as a mobilization center.

I. Operating Site

The location of a structural collapse where US&R operations are being conducted.

J. Staging Area

A location set up at or near an incident where resources can be placed while awaiting a tactical assignment.

K. System to Locate Survivors (STOLS)

An acoustic listening device used by specially trained personnel from the U.S. Army Corps of Engineers for the location of victims trapped in collapsed structures.

Emergency Support Function #10
Hazardous Materials Annex

Primary Agency	Environmental Protection Agency
Support Agencies	U.S. Coast Guard Department of Agriculture Department of Commerce Department of Defense Department of Energy Department of Health and Human Services Department of the Interior Department of Justice Department of Labor Department of State Department of Transportation Nuclear Regulatory Commission

I. Introduction

A. Purpose

Emergency Support Function (ESF) #10 — Hazardous Materials provides Federal support to State and local governments in response to an actual or potential discharge and/or release of hazardous materials following a major disaster or emergency. As an element of the Federal Response Plan (FRP), ESF #10 may be activated under one of the following conditions:

1. In response to a disaster for which the President (through the Federal Emergency Management Agency (FEMA)) determines that Federal assistance is required to supplement the response efforts of the affected State and local governments, under the Robert T. Stafford Disaster Relief and Emergency Assistance Act; or

2. In anticipation of a major disaster or emergency that is expected to result in a declaration under the Stafford Act.

   A Presidential declaration does not automatically activate ESF #10. FEMA will determine, in consultation with affected States, the Environmental Protection Agency (EPA), and the U.S. Coast Guard (USCG), if appropriate, if such activation is required to supplement the efforts of State and local governments. (The USCG will be consulted in a disaster or emergency where the predominant damage is within its jurisdiction. As primary agency for the ESF, EPA also will be consulted in such cases.) Within the context of this ESF, the term “hazardous materials” is defined broadly to include oil; hazardous substances under the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), as amended; pollutants

and contaminants defined under Section 101(33) of CERCLA; and certain chemical, biological, and other weapons of mass destruction (WMD). Federal response to releases of "hazardous materials" is carried out under the National Oil and Hazardous Substances Pollution Contingency Plan (NCP) (40 CFR 300).

3. EPA will serve as the National Chair and lead agency for each activation of ESF #10, with close coordination with the USCG in geographic locations under USCG jurisdiction. EPA will be the ESF #10 Regional Chair in preparedness and for ESF #10 activations in response to a disaster or emergency affecting areas under EPA jurisdiction. The USCG will be the ESF #10 Regional Incident Chair for a disaster or emergency affecting only the areas under USCG jurisdiction. (Precise jurisdictional boundaries have been determined by EPA/USCG agreements and are described in the NCP as well as in greater detail in the Region Oil and Hazardous Pollution Contingency Plans (RCPs)). The USCG will receive mission assignments directly from FEMA for such responses.

   (To provide a smooth interface with the response structure established under the NCP, regional incident-specific lead for ESF #10 may be transferred from one regional chair to the other if circumstances dictate.) In the event that an incident involves both EPA and USCG jurisdictions, EPA will assume the ESF #10 Incident Chair role, with the USCG serving as Vice-Chair. Each agency will have the option of transferring the lead agency or specific tasks role to the other; however, the Incident Chair will retain responsibility for effectively addressing the ESF #10 tasks, both NCP and non-NCP.

B. Scope

1. ESF #10 provides for a coordinated response to actual or potential discharges and/or releases of hazardous materials by placing the response mechanisms of the NCP within the FRP coordination structure that ensures the most efficient and effective use of Federal resources. The ESF includes the appropriate response actions to prevent, minimize, or mitigate a threat to public health, welfare, or the environment caused by actual or potential hazardous materials incidents.

2. This ESF establishes the lead coordination roles, the division and specification of responsibilities among Federal agencies, and the national and on-site response organization that may be brought to bear in response actions, including description of the organizations, response personnel, and resources that are available. This ESF is applicable to all Federal departments and agencies with responsibilities and assets to support State and local response to actual or potential discharges and/or releases of hazardous materials.

3. Response to oil discharges and hazardous substance releases will be carried out in accordance with the NCP. The NCP effectuates the response powers and responsibilities created by CERCLA, and the authorities established by section 311 of the Clean Water Act (CWA), as amended by the Oil Pollution Act (OPA). Under the NCP, an On-Scene Coordinator (OSC), designated by EPA, the USCG, Department of Defense (DOD), or Department of Energy (DOE), would undertake Federal

response actions. Appropriate response actions under the NCP include efforts to detect, identify, contain, clean up, or dispose of released hazardous materials. The actions can include stabilization of berms, dikes, or impoundments; capping of contaminated soils or sludge; use of chemicals and other materials to contain or retard the spread of the release or to mitigate its effects; drainage controls; fences, warning signs, or other security or site control precautions; removal of highly contaminated soils from drainage areas; removal of drums, barrels, tanks, or other bulk containers that contain hazardous substances; and other measures as deemed necessary.

4. In addition, ESF #10 may respond to actual or threatened releases of hazardous materials not typically responded to under the NCP but that, as a result of the disaster or emergency, pose a threat to public health or welfare or to the environment. Appropriate ESF #10 response activities to such hazardous materials incidents include, but are not limited to, household hazardous waste collection, permitting and monitoring of debris disposal, water quality monitoring and protection, air quality sampling and monitoring, and protection of natural resources.

C. Relation to Existing Response under the NCP, the National Response System, and the National and Regional Response Teams

1. Coordination of response actions carried out under this ESF is in accordance and does not conflict with the NCP duties and responsibilities of the National Response Team (NRT) and Regional Response Teams (RRTs) as carried out through the National Oil and Hazardous Substances Response System (NRS). The NRS is a highly organized network of agencies, programs, and resources with authorities and responsibilities in hazardous materials response. Key components of the NRS include the NCP, the NRT/RRTs, the National Response Center (NRC), and Area Contingency Plans. States participate in the NRS at the regional level.

2. The NRT, composed of 16 Federal agencies with major environmental and public health responsibilities for oil and hazardous substance releases, is the primary vehicle for coordinating Federal agency activities under the NCP. The NRT carries out national planning and response coordination and oversees the NRS. EPA chairs the NRT, while the USCG serves as Vice-Chair. At the headquarters level, activities under this ESF provide a bridge between the NRT and the Catastrophic Disaster Response Group (CDRG). The NRT participates in FRP-activation preparedness activities under this ESF and is expected to be closely involved in response activities if this ESF is activated. EPA is the Regional Chair of ESF #10 for incidents within its jurisdiction. For disasters that occur where the USCG has jurisdiction, the USCG is the Regional Incident Chair of ESF #10. (EPA would remain the National Chair with active USCG participation and support at the CDRG.)

3. The RRTs are made up of regional representatives of the Federal agencies on the NRT as well as a representative from each State within the region and are co-chaired by EPA and the USCG. The RRTs serve as planning and preparedness bodies before a response. During a response, RRTs marshal their respective agency response

resources and provide coordination and advice to the Federal OSC(s). Each RRT participates in preparedness activities under this ESF and is expected to be closely involved in response activities if this ESF is activated. At the regional level, activities under this ESF provide a bridge between the on-site OSC-directed NCP response (with RRT support) and the overall FRP disaster response activities carried out at the Disaster Field Office (DFO) and managed by a Federal Coordinating Officer (FCO). The OSCs will carry out their responsibilities under the NCP to coordinate, integrate, and manage the Federal effort to detect, identify, contain, clean up, or dispose of or minimize releases of oil or hazardous substances, or prevent, mitigate, or minimize the threat of potential releases. Their efforts will be coordinated under the direction of the ESF Regional Incident Chair, who is also the EPA or USCG RRT Co-Chair.

4. If the FRP is invoked and there are hazardous materials releases necessitating the activation of this ESF, the NRT/RRTs would carry out their duties and responsibilities as put forth in the NCP and agency implementing procedures. Those efforts will focus largely on specific oil and hazardous substances releases that may occur throughout the affected geographic area. There is a need, however, for a single coordination mechanism for the Federal hazardous materials response as provided through this ESF because:

   a. It is likely that there will be several releases occurring simultaneously, making heavy demands on response resources. In order to make the best use of limited resources and to ensure the most efficient overall response, damage information must be gathered quickly, analyzed, and response priorities established as soon as possible.

   b. Information on response activities must be provided to the DFO and the FCO on a continuous basis. In some cases, this information could be coming in from more than one State or region. To avoid confusion, this information should flow from the response site to the ESF #10 Regional Chair, to the FCO, and to the ESF #10 National Chair.

   c. Many of the agencies represented on the NRT/RRT also will be involved in responding to the disaster under other ESFs; hence, there may be conflicting demands on their agency resources. For example, DOD, which has provided personnel and equipment for NCP responses in the past, is also a support agency to the other 11 ESFs. There may be heavy and conflicting demands on DOD resources. Any resource conflicts affecting ESF #10 will be resolved at the DFO with the FCO and the ESF Chair, then through national ESF #10, and lastly at the CDRG level.

5. EPA will carry out the overall management of preparedness and response coordination activities for this ESF. The USCG, in coordination with EPA, will carry out the management of preparedness and response coordination activities for this ESF in those affected areas where the USCG has jurisdiction. Such assistance will include the responsibility as Regional Vice-Chair or Incident Chair of this ESF.

II. Policies

A. National Contingency Plan

The NCP serves as the basis for planning and utilization of Federal resources for responding to releases or threats of releases of oil or hazardous substances. Response actions under this ESF will follow the policies, procedures, directives, and guidance developed to carry out provisions in the NCP.

B. ESF Regional Chair

During nonemergency operations, the EPA Co-Chair of the RRT will chair the regional ESF. The USCG Co-Chair of the RRT will serve as Vice-Chair of the regional ESF. Both the Regional Chair and Vice-Chair will be involved in planning for implementation of ESF #10.

C. Support Agencies

To the extent possible at both the headquarters and regional levels, support agency representatives to this ESF should be those personnel also assigned to the NRT or RRT(s). Where such dual assignments are not possible, each ESF representative is to maintain close coordination with the agency's NRT/RRT representative.

D. Multiple Response Actions

When, because of multiple response actions, more than one Federal OSC is involved in implementing response, the ESF will be the mechanism through which close coordination will be maintained among all agencies and OSCs. The EPA Regional Chair of this ESF will ensure that response actions within its jurisdiction are properly coordinated and carried out. In cases where more than one USCG district falls within an EPA region, USCG Headquarters will select the Regional Incident Chair of the ESF. The USCG Regional Incident Chair of the ESF will ensure that response actions within USCG jurisdiction are properly coordinated and carried out.

E. Terrorism Incidents

If the Terrorism Incident Annex to the FRP is activated, ESF #10 will provide assistance during both the crisis management and consequence management phases as specified in the annex.

III. Situation

A. Disaster Condition

A natural or other disaster could result in numerous situations in which hazardous materials are released into the environment. Fixed facilities (e.g., chemical plants, tank farms, laboratories, operating hazardous waste sites) that produce, generate, use, store, or dispose of hazardous materials could be damaged so severely that existing spill control apparatus and containment measures are not effective. Hazardous materials that are transported may be involved in rail accidents, highway collisions, or waterway mishaps. Abandoned hazardous waste sites could be

damaged, causing further degradation of holding ponds, tanks, and drums. The damage to, or rupture of, pipelines transporting materials that are hazardous if improperly released will present serious problems. Disaster recovery procedures could generate hazardous materials threats to the public health or welfare or to the environment. Terrorism incidents could occur involving WMD.

B. Planning Assumptions

1. States and localities will be overwhelmed by the extent of the response effort required to assess, mitigate, monitor, clean up, and dispose of hazardous materials released into the environment.
2. There will be numerous incidents occurring simultaneously in separate locations, both inland and along coastal waters.
3. Standard communications equipment and practices (phone lines, radio, etc.) will be disrupted or destroyed.
4. Response personnel, cleanup crews, and response equipment will have difficulty reaching the site of a hazardous materials release because of the damage sustained by the transportation infrastructure (roads, rails, bridges, airports, etc.).
5. Additional response/cleanup personnel and equipment will be needed to supplement existing capabilities and to provide backup or relief resources.
6. Even if the disaster does not cause an actual release, there will be considerable concern about facilities that are located in or near the affected area. These facilities will need to be assessed and monitored by ESF #10. Information submitted in compliance with Title III of the Superfund Amendments and Reauthorization Act (SARA), the Clean Air Act Amendments of 1990, the Oil Pollution Act of 1990, and the Hazardous Materials Transportation Uniform Safety Act of 1990 will be useful in identifying such facilities.
7. Laboratories responsible for analyzing hazardous materials samples may be damaged or destroyed.
8. Air transportation will be needed for damage reconnaissance and to transport personnel and equipment to the site of a release.
9. Emergency exemptions will be needed for disposal of contaminated material.
10. ESF #10 responders should expect to be self-sufficient in the early days of the response.
11. Incidents involving WMD will require additional coordination procedures and the need to follow specialized response actions. A WMD response might begin as a routine response action and then later be determined a WMD incident.
12. When a discharge or release involves radioactive material, the Federal response will be consistent with the Federal Radiological Emergency Response Plan (FRERP) or the National Contingency Plan as deemed appropriate by the Lead Federal Agency

(LFA). The FRERP response is coordinated by the LFA, which is the agency that owns, authorizes, regulates, or is otherwise responsible for the source, facility, or radiological activity causing the emergency, and for responding to that emergency.

IV. Concept of Operations

A. Scope

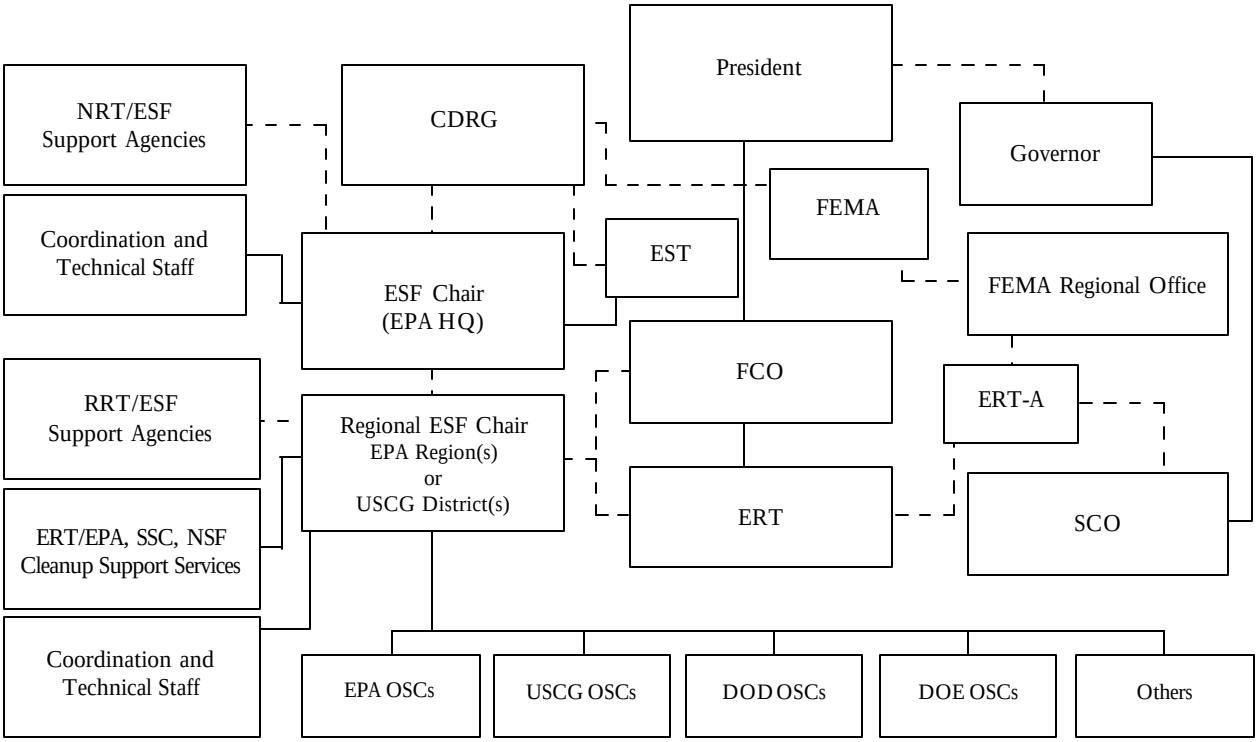
1. EPA will serve as the National Chair and lead agency for each activation of ESF #10, with close coordination with the USCG in geographic locations under USCG jurisdiction. EPA will be the ESF #10 Regional Chair in preparedness and for ESF #10 activations in response to a disaster or emergency affecting areas under EPA jurisdiction. The USCG will be the ESF #10 Regional Incident Chair for a disaster or emergency affecting only areas under USCG jurisdiction.
2. The operational response prescribed in the NCP and any agency implementing procedures that contribute to response will be coordinated through this ESF. This ESF will promote an efficient, coordinated, and effective response to discharges or releases of hazardous materials that threaten human health, welfare, or the environment. In conjunction with the State, the ESF will coordinate the provision of support and the overall management to the various response sites to ensure actions are taken to mitigate, clean up, and dispose of hazardous materials and minimize the impact of the incidents. The ESF promotes close coordination with Federal, State, and local officials to establish priorities for response support.
3. This ESF requires documentation of all response activities to support after-action requirements and justify actions taken by primary and support agencies.
4. Upon activation of ESF #10, one or more OSCs will coordinate and direct oil and hazardous substance removal actions. Depending on the location of the incident(s), the OSC(s) may be provided by either EPA, USCG, DOD, or DOE. The Regional Chair of this ESF is responsible for coordinating OSCs to make the best use of response resources and to avoid gaps or overlaps in response actions.

B. Organization

Figure ESF #10-1 depicts the national and regional organizational structure for this ESF for situations in which oil and/or hazardous substance incidents occur and the NCP is implemented.

1. National-Level Response Support Structure

a. This ESF will be implemented under the direction of the Director, Chemical Emergency Preparedness and Prevention Office (CEPPO), Office of Solid Waste and Emergency Response, EPA, who will also serve as the Chair for this ESF. For Coastal Zone response, this ESF will also be implemented under the coordinated direction between the Chief, Office of Response, USCG, and the Director of CEPPO consistent with section I.A of this annex.



Abbreviations:

CDRG	Catastrophic Disaster Response Group	EST	Emergency Support Team	SCO	State Coordinating Officer
DOD	Department of Defense	FCO	Federal Coordinating Officer	SSC	Scientific Support Coordinator
DOE	Department of Energy	FEMA	Federal Emergency Management Agency	USCG	U.S. Coast Guard
EPA	Environmental Protection Agency	NRT	National Response Team		
ERT/EPA	Environmental Reponse Team (EPA)	NSF	National Strike Force	———	Authority
ERT-A	Emergency Reponse Team — Advance Element	OSC	On-Scene Coordinator	- - - -	Coordination
ERT	Emergency Response Team	RRT	Regional Response Team		

Figure 10-1 — ESF #10 National and Regional Structure

b. The Chair, or a designated alternate, will represent the ESF in all interactions with the CDRG and will maintain liaison with the ESF Regional Chair.

c. Following an initial situation assessment, the ESF Chair (in consultation with the ESF Vice-Chair if appropriate) will determine which agencies will be required to continue to provide representatives to the ESF on a 24-hour basis (either by phone or in person) during the emergency response period. The EPA CEPPO and/or USCG Office of Response will provide administrative support to this ESF as appropriate. ESF #10 will operate from EPA and, as appropriate, USCG Headquarters. ESF support agencies will have representatives available immediately by phone on a 24-hour basis.

(1) EPA will operate this ESF from the EPA Headquarters Emergency Operations Center (EOC).

(2) Where the USCG has jurisdiction, the USCG will operate from the USCG Headquarters Office of Response.

d. ESF #10 will be represented on the Emergency Support Team (EST) by a predesignated EPA Headquarters and/or USCG Headquarters representative and, if necessary, by select representatives of other ESF support agencies. The purpose of the ESF #10 EST representative is to provide national-level coordination and liaison among ESFs at Headquarters and to provide accurate ESF technical information to ESF #5 — Information and Planning and the CDRG. The EST ESF #10 representative will be in direct contact with the ESF #10 Chair at EPA Headquarters or USCG representatives at USCG Headquarters as appropriate.

   The EPA ESF #10 Chair, who is also the ESF #10 CDRG representative, will determine national-level policy relating to the response effort in close coordination with the USCG. The USCG will also provide representation at CDRG meetings as necessary. The ESF #10 Chair will provide guidance and direction to regional response elements as necessary on issues such as interregional resource use, allocation, and mobilization.

e. Policies and procedures in the NCP will be adhered to in carrying out an oil/ hazardous substance response. In certain circumstances, some administrative procedures in the NCP can be streamlined during the immediate response phase. The ESF Chair will consult with the NRT for advice and assistance in carrying out activities under this ESF. Likewise, the ESF Regional Chair will consult with the RRT for such advice or assistance.

f. In some cases (see sections I.B and III.A), ESF #10 may respond to releases or threatened releases of hazardous materials not typically responded to under the NCP. Applicable policies and procedures in the NCP will be adhered to in carrying out these hazardous materials responses.

2. Regional-Level Response Structure

a. The EPA RRT Co-Chair will serve as the Regional Chair of this ESF. The USCG Co-Chair of the RRT will serve as Vice-Chair of the regional ESF.

b. For responses occurring solely in areas of USCG jurisdiction, the USCG RRT Co-Chair will serve as the Regional Incident Chair of this ESF.

c. The ESF Regional Chair will represent the ESF in its dealings with the FCO and will maintain close coordination with support agencies, other on-scene ESFs, National Chair of the ESF, OSCs, RRT, and State officials.

d. The regional-level ESF comprises the regional representatives of those Federal agencies listed in section V of this ESF.

e. In the event of a multi-State incident, the ESF Regional Chair will designate an ESF #10 coordinator for each State. Designees will coordinate response efforts in the assigned State, representing the ESF at the DFO. Designees will closely coordinate decisions with the ESF #10 Chair.

f. The Regional Chair will designate a representative to the Advance Element of the Emergency Response Team (ERT-A) and, in conjunction with the ESF support agencies, determine the staffing requirements for the full ERT at the DFO. In addition to that of the primary agency, staffing at the DFO may include the USCG, DOD, Department of Commerce/National Oceanic and Atmospheric Administration (DOC/NOAA), and Department of Health and Human Services (HHS).

g. In the DFO, the Regional Chair will be the primary coordination point between the ESF #10 response activities and the FCO.

h. When the Terrorism Incident Annex is activated, the Regional Chair will ensure that ESF #10 response activities are fully integrated and coordinated with the Federal Bureau of Investigation's Joint Operations Center.

i. The Regional Chair will support Federal OSCs provided by EPA for discharges and releases into or threatening areas under EPA jurisdiction, the USCG for discharges or releases into or threatening areas of USCG jurisdiction, DOD for hazardous substance releases from DOD facilities and vessels, or DOE for hazardous substance releases from DOE facilities.

j. The OSC directs oil and hazardous substance response efforts and coordinates all other Federal efforts at the scene of a discharge or release. Specific response efforts are noted in the NCP and include actions taken as soon as possible to prevent, minimize, or mitigate a threat to public health or welfare, or the environment.

k. The OSC is supported by a Federal emergency response network that includes the NRT, RRT, and special forces and teams (e.g., National Strike Force, Environmental Response Team, Scientific Support Coordinators, District Response Groups, Radiological Emergency Response Teams, and Supervisor of Salvage and Diving (SUPSALV — Department of the Navy)), which can provide technical assistance, advice, and other services and additional support for cleanup and disposal of released material.

l. The OSC should consult as needed with the RRT in carrying out response activities and keep the RRT informed of response actions. To the extent possible, the RRT representative also will be the agency's representative to this ESF.

m. OSC efforts will be coordinated with other appropriate Federal, State, local, or private response agencies. All OSCs involved in implementing this ESF will maintain close coordination with the Regional Chair to ensure that the response is consistent with Federal priorities.

C. Notification

1. FEMA Headquarters will notify the National ESF Chair of a potential or actual FRP or ESF #10 activation.

2. FEMA will notify the National Response Center of a potential or actual FRP or ESF #10 activation. The NRC will notify the Headquarters and Regional Chairs of this ESF and other appropriate Federal and State personnel or their designees. Alternatively, the EPA Region and/or USCG District may be notified of an alert of a potential ESF #10 activation by their corresponding FEMA region.
3. In cases where other Federal assets are initially notified of an incident, they are responsible for contacting the National Response Center and FEMA Headquarters directly.
4. Upon notification, all ESF members will contact their parent agencies, remain in 24-hour phone contact with the ESF (e.g., the EST at the national level and the Regional Operations Center (ROC) staff at the regional level), and be prepared to report to that location as required.

D. Response Actions

1. Initial Actions

a. The National Chair of this ESF will convene appropriate agency representatives within 2 hours of notification to develop a plan for providing the technical support required. This can be conducted via emergency conference call or by physically locating at the EPA or USCG EOC as appropriate.

b. The national ESF will focus initially on the following actions:

(1) Confirm that members of national and regional ESF staffs have been notified;

(2) Ensure that the EPA EOC or USCG EOC is primed to support Federal response activities;

(3) Establish communications with the affected regional ESF;

(4) Establish communications with designated backup regions and with other appropriate regional and State elements;

(5) Coordinate with other national-level ESFs, especially ESF #5;

(6) Identify extent of hazardous materials incidents;

(7) Identify initial resource requirements; and

(8) For terrorism incidents, provide support as required during the crisis management and consequence management phases while continuing to carry out NCP response actions.

c. The regional-level ESF will become operational upon notification from the FEMA region. Initial actions coordinated under the regional ESF include:

(1) Alert members of the regional ESF;

(2) Deploy ESF representatives to the ERT-A and to the ERT;

(3) Coordinate and communicate with the national ESF at the EST;

(4) Establish communication with the ROC and/or State EOC (according to regional plans) to obtain initial damage estimates;

(5) Establish communications with EPA backup regions. The EPA ESF #10 Regional Chair will request assistance for backup by calling other EPA regions for support. Backup regions should coordinate with EPA Headquarters before deploying to the disaster and work through EPA Headquarters to obtain any additional resources required. Where the USCG has jurisdiction, it will establish communications with primary pre-designated USCG backup districts. USCG-designated backup districts are expected to provide initial response support behind the affected district. Backup districts should coordinate with USCG Headquarters before deploying to the disaster and work through USCG Headquarters to obtain any additional resources required; and

(6) Assess the situation, including the nature, amount, and locations of real or potential releases of hazardous materials; pathways to human and environmental exposure; probable direction and time of travel of the materials; potential impact on human health, welfare, safety, and the environment; types, availability, and location of response resources, technical support, and cleanup services; and priorities for protecting human health and welfare, and the environment.

d. Upon identification of releases or potential releases of oil and hazardous substances, the Regional Chair of this ESF will coordinate closely with the OSC(s) and the RRT (if convened) to develop and implement a response strategy.

2. Continuing Actions

Upon becoming fully operational and throughout the response period, the ESF support agency representatives (national and regional) will coordinate with their agencies to meet ESF needs and carry out ESF actions. The regional ESF, under the direction of the ESF Regional Chair, will:

a. Receive damage information from reconnaissance teams, other ESFs, and Federal, State, and local agencies;

b. In coordination with Federal, State, and local agencies, identify support requirements and establish response priorities;

c. Validate priorities and identify resources required;

d. Work with State and local governments and other Federal agencies to maximize use of available regional assets and identify resources required from outside the region; and initiate actions to locate and move resources into the disaster area (transport of resources to be coordinated with ESF #1 — Transportation);

e. Continue to coordinate on-scene response operations through this ESF as expressed in section I.C, including stabilization of berms, dikes, or impoundments; capping of contaminated soil or sludge; use of chemicals and other materials to contain or retard the spread of the release or mitigate its effects (e.g., safety fences); drainage controls to ensure proper drainage; fences, warning signs, or other security or site control precautions; removal of highly contaminated soil from drainage or other areas; and removal of drums, barrels, tanks, or other bulk containers that contain hazardous materials;

f. Because of the potential for response to numerous simultaneous events, OSCs will, as time permits, coordinate all significant actions with the ESF Regional Chair. Significant actions are considered those that relate to competition for and commitment of resources not under their control, recommendations to State officials as to protective actions, or the impact on other response activities or priorities;

g. Maintain close coordination with the DFO to share information and ensure effective response to requests for assistance. The regional ESF will provide written situation reports to the ESF #10 National Chair on a regular basis as specified at the time of response (at a minimum, every shift change); and

h. For terrorism incidents, provide support as required during crisis management and consequence management while continuing to carry out ESF #10 response actions.

V. Responsibilities

A. Primary Agency: Environmental Protection Agency, with the U.S. Coast Guard as Regional Incident-Specific Chair During Certain Events

1. Maintain close coordination between Headquarters and the affected regional office(s); the USCG, as appropriate; the CDRG; the EST; other ESFs; and the NRT;
2. Provide damage reports and assessments to support ESF #5;
3. Facilitate resolution of any conflicting demands for hazardous materials response resources. Coordinate (through headquarters) the program of backup support from other regions to the affected area;
4. Provide technical, coordination, and administrative support and personnel, facilities, and communications for this ESF;
5. Coordinate, integrate, and manage the overall Federal effort to detect, identify, contain, clean up, or dispose of or minimize releases of oil or hazardous substances, or prevent, mitigate, or minimize the threat of potential releases;
6. Provide expertise on environmental effects of oil discharges or releases of hazardous substances, pollutants, or contaminants and environmental pollution control techniques;

7. Provide OSCs; and
8. Provide Chair for NRT and Co-Chairs for RRTs.

B. Support Agencies

During the planning or implementation of a response, the Federal agencies listed are prepared to provide the following assistance in their respective areas of expertise. The assistance provided by each agency is consistent with its capability and legal authority.

1. Department of Agriculture

a. Ensure the purity and wholesomeness of meat and meat products, poultry and poultry products, and egg products;

b. Prevent the distribution of contaminated meat and meat products, poultry and poultry products, and egg products;

c. Measure, evaluate, and monitor the impact of the emergency incident on natural resources under the Department of Agriculture's jurisdiction;

d. Provide predictions of the effects of pollutants on soil and their movements over and through soil;

e. Assist in developing protective measures and damage assessments;

f. Assist in providing livestock feed;

g. Assist in the disposition of livestock and poultry affected by radiation;

h. Assist, in coordination with HHS, EPA, and USCG, in the production, processing, and distribution of food; and

i. Provide information and assistance to farmers.

2. Department of Commerce, National Oceanic and Atmospheric Administration

a. Acquire and disseminate weather data, forecasts, and emergency information;

b. Provide expertise on natural resources and coastal habitat, the environmental effects of oil and hazardous substances, and appropriate cleanup and restoration alternatives;

c. Coordinate scientific support for responses in coastal and marine areas, including assessments of the hazards that may be involved;

d. Predict pollutant movement, dispersion, and characteristics (atmospheric or marine) over time;

e. Provide information on meteorological, hydrological, ice, and oceanographic conditions for marine, coastal, and inland waters; and

f. Provide charts and maps for coastal and territorial waters and the Great Lakes.

3. Department of Defense

a. Direct response actions for releases of hazardous substances from its vessels, facilities, and vehicles; and

b. Provide personnel and equipment to other Federal organizations and State and local governments (such as SUPSALV), as requested, if consistent with DOD operational requirements.

4. Department of Energy

a. Direct response actions for releases of hazardous substances from its vessels, facilities, and vehicles; and

b. Provide advice in identifying the source and extent of radioactive releases relevant to the NCP, and in the removal and disposal of radioactive contamination.

5. Department of Health and Human Services

a. Provide assistance on all matters related to the assessment of health hazards at a response and protection of both response workers and the public health;

b. Determine whether illnesses, diseases, or complaints may be attributable to exposure to a hazardous substance;

c. Establish disease/exposure registries and conduct appropriate testing; and

d. Develop, maintain, and provide information on the health effects of toxic substances.

6. Department of the Interior

Provide assistance and expertise in fish and wildlife resources, geology and hydrology, earthquakes and other natural hazards, minerals, soils, vegetation, mining activities, identification of hazardous substances, biological and general natural resources, cultural resources, matters affecting lands administered by the Department of the Interior, and matters affecting Indian lands and resources, National parks, wildlife refuges, and fish hatcheries.

7. Department of Justice

Provide expert advice on complicated legal questions arising from the Federal response.

8. Department of Labor, Occupational Safety and Health Administration

Provide advice and consultation to EPA and other NRT/RRT agencies, as well as to the OSC, regarding hazards to persons engaged in response activities. The Occupational Safety and Health Administration (OSHA) also may take any other action necessary to ensure that employees are properly protected. Any questions about occupational safety and health at these sites may be referred to the OSHA Regional Office.

9. Department of State

Provide advice and assistance in coordinating an international response when a discharge or release crosses international boundaries or involves foreign flag vessels.

10. Department of Transportation

a. Research and Special Programs Administration

Provide expertise on all modes of transporting oil and hazardous substances, including information on the requirements for packaging, handling, and transporting regulated hazardous materials; and

b. U.S. Coast Guard

(1) Assist ESF #10 primary agency (EPA) in preparedness and response coordination activities for ESF #10. Such assistance may include responsibility as Regional Vice-Chair of this ESF during preparedness and as Regional Incident Chair of ESF #10 during response;

(2) Provide the Federal OSCs for response to oil and hazardous substance events occurring within its jurisdiction;

(3) Provide Vice-Chair for the NRT and Co-Chairs for RRTs;

(4) Within its jurisdiction, coordinate, integrate, and manage the overall Federal effort to detect, identify, contain, clean up, or dispose of or minimize releases of oil or hazardous substances; prevent, mitigate, or minimize the threat of potential releases;

(5) Maintain the National Response Center;

(6) Manage the National Strike Force, which consists of three Strike Teams located on the Pacific, Atlantic, and Gulf coasts, to provide technical advice, assistance, and communications support for response actions;

(7) Offer expertise in domestic and international port safety and security, maritime law enforcement, ship navigation, and the manning, operation, and safety of vessels and marine facilities; and

(8) Maintain continuously staffed facilities that can be used for command, control, and surveillance of oil discharges and hazardous substance releases occurring within its jurisdiction.

11. Nuclear Regulatory Commission

Coordinate the Federal effort to mitigate the radiological consequences of an emergency involving a facility licensed by the Nuclear Regulatory Commission or an Agreement State in accordance with the FRERP. The Nuclear Regulatory Commission and EPA will coordinate their responses to an emergency involving both a radiological and chemical release in accordance with joint Nuclear Regulatory Commission/EPA implementing procedures.

C. Other Agencies

Other Federal agencies may be called upon to provide advice and assistance as needed.

VI. References

A. Comprehensive Environmental Response, Compensation, and Liability Act, as amended, 42 U.S.C. 9601, *et seq*. (CERCLA — more popularly known as "Superfund").

B. Clean Water Act, as amended, 33 U.S.C. 1321.

C. Oil Pollution Act of 1990, 33 U.S.C. 1321.

D. Clean Air Act, as amended, 42 U.S.C. 7401.

E. Transportation of Hazardous Material, 49 U.S.C. 5101.

F. National Oil and Hazardous Substances Pollution Contingency Plan (NCP), 40 CFR 300.

G. Executive Order 12580, Superfund Implementation.

H. Executive Order 11735, Assignment of Functions Under Section 311 of the Federal Water Pollution Control Act, as amended.

I. Joint U.S./Mexico Contingency Plan for Accidental Releases of Hazardous Substances Along the Border, January 1988.

J. U.S./Mexico Marine Environment Agreement, July 1980.

K. U.S./Canada Joint Marine Pollution Contingency Plan, September 1983, revised 1986.

L. Canada/U.S. Joint Inland Pollution Contingency Plan, July 1994.

M. Joint Contingency Plan in the Bering and Chukchi Seas, October 17, 1989 (U.S./U.S.S.R.).

N. Superfund Amendments and Reauthorization Act of 1986, including the Emergency Planning and Community Right-to-Know Act (SARA Title III) of 1986.

VII. Terms and Definitions

A. Comprehensive Environmental Response, Compensation, and Liability Act, as amended (CERCLA)

More popularly known as "Superfund," CERCLA was passed to provide the needed general authority for Federal and State governments to respond directly to hazardous substances incidents.

B. District Response Group

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

C. Environmental Response Team

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

D. Hazardous Materials

Under this ESF, hazardous materials are defined broadly to include oil, CERCLA hazardous substances, pollutants and contaminants as defined in CERCLA section 101(33), and certain chemical and biological WMD. Federal response to hazardous materials is carried out under the NCP.

E. Hazardous Substances

Under this ESF, hazardous substances are defined by section 101(14) of CERCLA.

F. National Oil and Hazardous Substances Pollution Contingency Plan (NCP)

The NCP (40 CFR 300) administers the response powers and capabilities authorized by CERCLA and section 311 of the Clean Water Act. The NCP applies to all Federal agencies and provides for efficient, coordinated, and effective response to discharges of oil and releases of hazardous substances, pollutants, and contaminants.

G. National Response Center (NRC)

A national communications center for activities related to oil and hazardous substance response actions. The National Response Center, located at USCG Headquarters in Washington, DC, receives and relays notices of oil and hazardous substances releases to the appropriate Federal OSC. The 24-hour number is 1 (800) 424-8802, or in Washington, DC, (202) 267-2675.

H. National Response Team (NRT)

The NRT, composed of the 16 Federal agencies with major environmental and public health responsibilities, is the primary vehicle for coordinating Federal agency activities under the NCP. The NRT carries out national planning and response coordination and is the head of a highly organized Federal oil and hazardous substance emergency response network. EPA serves as the NRT Chair (Director, Chemical Emergency Preparedness and Prevention Office), and the USCG serves as Vice-Chair.

I. National Strike Force

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

J. On-Scene Coordinator (OSC)

The Federal official pre-designated to coordinate and direct hazardous substance removal actions. Depending upon the location of the incident, the OSC may be provided either by EPA, USCG, DOD, or DOE. OSCs from DOD and DOE will be used to coordinate and direct actions at their respective agency facilities.

K. Radiological Emergency Response Teams

EPA's Office of Indoor Air and Radiation provides Radiological Emergency Response Teams (RERTs) 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.

L. Regional Response Teams (RRTs)

Regional counterparts to the NRT, the RRTs are made up of regional representatives of the Federal agencies on the NRT and representatives of each State within the region. The RRTs serve as planning and preparedness bodies before a response, and provide coordination and advice to the Federal OSC during response actions.

M. Scientific Support Coordinator (SSC)

Under the direction of the Federal OSC, a Scientific Support Coordinator leads a team of scientists that provides scientific support for response operational decisions and for coordinating on-scene scientific activity. Generally, a Scientific Support Coordinator is provided by NOAA in coastal zones and by EPA in the inland zone.

N. Supervisor of Salvage and Diving (SUPSALV)

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

This page intentionally left blank.

Emergency Support Function #11
Food Annex

Primary Agency:	Department of Agriculture, Food and Nutrition Service
Support Agencies:	Department of Defense Department of Health and Human Services American Red Cross Environmental Protection Agency Federal Emergency Management Agency General Services Administration

I. Introduction

A. Purpose

Emergency Support Function (ESF) #11 — Food identifies, secures, and arranges for the transportation of food assistance to affected areas following a major disaster or emergency or other event requiring Federal response.

B. Scope

To accomplish this function, activities will be undertaken to identify food assistance needs in the aftermath of a major disaster or emergency. These activities will include coordinating with State, local, and voluntary organizations to determine food assistance needs; obtaining appropriate food supplies; arranging for transportation of those food supplies to designated staging areas within the disaster area; and authorizing disaster food stamp assistance.

II. Policies

A. ESF #11 will be activated upon notification of occurrence of a potential or actual major disaster or emergency.

B. Actions undertaken by ESF #11 will be guided by and coordinated with State and local disaster officials.

C. Food supplies secured and delivered by ESF #11 will be suitable for either household distribution or congregate meal service as appropriate.

D. Transportation and distribution of food supplies within the affected area will be arranged by Federal, State, local, and voluntary organizations.

E. ESF #11 will coordinate with, and support as appropriate, agencies responsible for ESF #6 — Mass Care involved in mass feeding.

F. ESF #11 will encourage the use of congregate feeding arrangements as the primary outlet for disaster food supplies.

G. Priority will be given to moving critical supplies of food into areas of acute need and then to areas of moderate need.

H. ESF #11, upon notification that commercial channels of trade have been restored, may authorize the use of disaster food stamp program procedures.

III. Situation

A. Disaster Condition

A significant disaster or emergency may deprive substantial numbers of people access to food or the means to prepare food. In addition to substantial disruption to the commercial food supply and distribution network, a major disaster may destroy, partially or totally, food products stored in the affected area.

B. Planning Assumptions

1. Approval of requests from the Governor or disaster relief organizations for release of State-controlled food may be given by telephone, radio, or written communications, depending on circumstances, within 12 hours of the disaster or emergency.

2. Within the disaster area, the following conditions will exist:

   a. Fifty percent of the food processing and distribution capabilities is disrupted;

   b. Seventy-five percent of the water supply is unusable, requiring juices or potable water supplies to be made available to the affected population. (Note: Potable water will be supplied by ESF #3 — Public Works and Engineering.); and

   c. There is a near-total disruption of energy sources (e.g., electricity and gas). The only sources available are oil for generators and propane tanks. Most commercial cold storage and freezer facilities are inoperable.

3. On the fringes of the geographic areas affected will be schools and small institutions having large inventories estimated to be sufficient to feed up to 10,000 people for 3 days and supply their fluid needs for 1 day (i.e., a minimum of 1,800 calories and 3 gallons of liquid per day per person).

IV. Concept of Operations

A. General

1. Under the general coordination of the Food and Nutrition Service's (FNS's) Disaster Task Force, ESF #11 will operate under existing Department of Agriculture (USDA) authorities and regulations, as well as the Stafford Act, to provide disaster food supplies to designated disaster staging areas and/or authorize the issuance of disaster food stamps.

2. At all times, requests for food, including types, amounts, and destination locations, will be processed through FNS's Disaster Task Force. It is expected that the regional level of the Disaster Task Force will be the point of contact for all State-initiated requests for food assistance.

3. After initial State food assistance requests are forwarded to the ESF, the Disaster Task Force will coordinate efforts to obtain and transport foods and/or authorize disaster food stamps. During the first 72 hours following a notification of a major disaster or emergency, this ESF will be staffed at least in FNS Headquarters and affected regional offices around the clock. After this time, continuation of 24-hour operations will be reconsidered by the Administrator of FNS and the FNS Disaster Coordinator, who is the official point of contact within the FNS Disaster Task Force for any matter pertaining to ESF #11.

B. Organization

1. National-Level Response Support Structure

At the national level, FNS's Disaster Task Force will assume primary responsibility for all ESF activity. Since each support agency will be represented on the Emergency Support Team at the Federal Emergency Management Agency (FEMA) Headquarters and the Emergency Response Team at the Disaster Field Office (DFO), the FNS Disaster Coordinator will maintain 24-hour contact with those representatives as necessary at those locations for the duration of the emergency response period. Support agency representatives will have sufficient knowledge of the capabilities and resources of their agencies, with appropriate authorities to commit resources to the response effort.

2. Regional-Level Response Structure

a. The FNS Regional Disaster Coordinator is the point of contact within the Regional Office and will represent this ESF in its dealings with the Federal Coordinating Officer.

b. The regional level of the Disaster Task Force will have a representative present or available for duty at the DFO on a 24-hour basis for the duration of the emergency response period.

C. Notification

1. The FEMA National Emergency Coordination Center will notify the USDA Emergency Coordinator of implementation of the Federal Response Plan. USDA then will notify the FNS Disaster Coordinator. The FNS Disaster Coordinator will notify appropriate headquarters officials, regional office(s), and ESF support agencies.

2. The Disaster Coordinator will attend any meeting of the Catastrophic Disaster Response Group (CDRG) and be available as necessary for the duration of the initial response period.

D. Response Actions

1. Initial Actions

a. Determine the critical needs of the affected population in terms of numbers of people, their location, and usable food preparation facilities for congregate feeding;

b. Catalog available resources of food, transportation, equipment, storage, and distribution facilities and be able to locate these resources geographically;

c. Evaluate the adequacy of available resources relative to need on a geographical basis;

d. Ensure that all identified USDA food is fit for human consumption;

e. Coordinate shipment of USDA food to staging areas within the disaster area; and

f. Initiate direct market procurement of critical food supplies not available from existing inventories.

2. Continuing Actions

a. Expedite requests, if any, for emergency issuance of food stamps after access to commercial food channels has been restored;

b. Establish logistical links with organizations involved in long-term congregate meal services; and

c. Establish need for and effect replacement of food products transferred from existing FNS program inventories.

V. Responsibilities

A. Primary Agency: Department of Agriculture

1. Determine the availability of USDA foods, including raw agricultural commodities (wheat, corn, oats, rice, etc.) that could be used for human consumption; assess damage to food supplies;

2. Coordinate with State officials to determine food needs of the population in the affected areas based on the following categories: acutely deficient, moderately deficient, self-sufficient, and surplus supplies;

3. At the discretion of the Secretary of Agriculture, and upon request by the State, approve emergency issuance of food stamps for up to 30 days to qualifying households within the affected area;

4. At the discretion of the Secretary of Agriculture, make emergency food supplies available to households for take-home consumption in lieu of food stamps for qualifying households;

5. Provide damage information to ESF #5 — Information and Planning on a regular basis;
6. Develop a plan of operation that will ensure timely distribution of food in good condition to the proper location; and
7. Ensure that the appropriate officials establish and maintain an information flow to the national-level ESF. These designees will ensure that requirements for food assistance are known and accomplished.

B. Support Agencies

All agencies included in support roles are necessary to ensure that all Federal sources of food are included, along with agencies necessary to ensure logistical support and determine that the food is not a health hazard.

1. Department of Defense

a. Assess the availability of Department of Defense (DOD) food supplies and storage facilities capable of storing dry, chilled, and frozen food;

b. Assess the availability of DOD transportation equipment, material handling equipment, and personnel for support. This responsibility will be confined to the posts, camps, and stations within or adjacent to the disaster area; and

c. Arrange for the delivery and distribution of resources identified in B.1.a and b to areas designated by the ESF.

2. Department of Health and Human Services

a. Determine which foods are fit for human consumption and identify potential problems of contaminated foods (e.g., radiation, chemical, bacterial, and viral); and

b. Provide health education in the areas of food preparation and storage.

3. American Red Cross

a. Identify and assess the requirements for food and distribution services on a two-phase basis: critical emergency needs immediately after the disaster, and longer-term sustained needs after the emergency phase is over; and

b. Coordinate the food distribution efforts of other voluntary organizations.

4. Environmental Protection Agency

Assist with determining the suitability of food resources for human consumption and identify potential hazardous materials impacts on the food supply.

5. Federal Emergency Management Agency

Provide demographic information about the disaster area and information on State, local, and private sources of food. This information will assist the ESF in determining types and quantities of food that FNS will need to provide.

6. General Services Administration

Lend support to FNS for any necessary procurement efforts to meet the needs of the affected population.

VI. Resource Requirements

A. Transportation Resources

Truck, rail, air, and sea resources for the transportation of food, including refrigeration and cold storage capacity.

B. Food Resources

1. Food supplies in Federal, State, and local government-owned storage facilities; and
2. Food supplies available for immediate procurement.

C. Mobilization/Staging Areas

Facilities and personnel to offload, store, allocate, and reload for shipments to food preparation/distribution sites within the disaster area.

VII. References

A. 7 CFR 250, Food Distribution Regulations.

B. 7 CFR 280, Food Stamp Regulations.

C. FNS Instruction 708-2, Emergency Food Assistance.

D. FNS Instruction 708-5, Disruption of Commercial Channels of Food Distribution in Disaster Areas.

E. FNS Instruction 708-6, Definition of Disaster Organizations.

F. FNS Notice 86-43, FNS Disaster Task Forces.

VIII. Terms and Definitions

Food and Nutrition Service (FNS) Disaster Task Force

The Food Security Act of 1985 (Public Law 99-198) requires the Secretary of Agriculture to establish a Disaster Task Force to assist States in implementing and operating various disaster food programs. The FNS Disaster Task Force coordinates the FNS overall response to disasters and emergencies. It operates under the general direction of the Administrator of FNS. The FNS Disaster Task Force consists of the Administrator, Associate Administrator, Disaster Coordinator, Deputy Administrator for Management, Deputy Administrator for Governmental Affairs and Public Information, representatives from the food stamp and special nutrition programs, and representatives from regional office(s) affected by the disaster.

The FNS Disaster Task Force expedites approval of disaster designation requests and policy clarifications. It also maintains liaison with FEMA Headquarters.

Emergency Support Function #12
Energy Annex

Primary Agency:	Department of Energy
Support Agencies:	Department of Agriculture Department of Defense Department of the Interior Department of State Department of Transportation National Communications System Nuclear Regulatory Commission Tennessee Valley Authority

I. Introduction

A. Purpose

Emergency Support Function (ESF) #12 — Energy helps restore the Nation's energy systems following a major disaster, emergency, or other significant event requiring Federal response assistance. In addition, the Department of Energy (DOE) members of ESF #12 provide direct coordination with all other departmental response elements.

B. Scope

ESF #12 gathers, assesses, and shares information on energy system damage and estimations on the impact of energy system outages within affected areas. Additionally, this ESF works closely with and aids in meeting requests for assistance from State and local energy officials, energy suppliers, and deliverers.

Within the ESF #12 agencies are a variety of assets and resources that may be used in response to any event involving energy or multihazard problems. "Energy" includes producing, refining, transporting, generating, transmitting, conserving, building, and maintaining energy systems and system components; "multihazard" includes radiological materials, weapons of mass destruction, and terrorism incidents.

Damage to an energy system in one geographic region may affect energy supplies in other regions that rely on the same delivery systems. Consequently, energy supply and transportation problems can be intrastate, interstate, and international.

II. Policies

A. Upon activation of ESF #12, DOE Headquarters will establish the Headquarters Emergency Management Team (EMT).

B. DOE Headquarters will assign personnel to temporary duty at the Federal Emergency Management (FEMA) Headquarters, Regional Operations Center, and Disaster Field Office as needed.

C. The ESF #12 priority will be to save lives, protect property, and assist other ESFs by aiding in the restoration of damaged energy systems.

D. Within 24 hours of implementation of the Federal Response Plan or upon instruction from FEMA, DOE Headquarters will start submitting situation reports to FEMA Headquarters.

III. Situation

A. The suddenness and devastation of a disaster, either natural or man-made, may sever key energy lifelines, constraining supply in affected areas and most likely adversely impacting adjacent areas, especially those with supply links to the directly affected areas. Such an event also could affect transportation, communications, and other lifelines needed for public health and safety.

B. Basic planning assumptions for such an event:

1. There may be widespread and possibly prolonged electric power failures;
2. The transportation and telecommunications infrastructures may be affected; and
3. Delays in the production, refining, and delivery of petroleum-based products may occur as a result of loss of commercial electric power.

C. ESF #12 response and restoration activities:

1. Serve as the focal point within the Federal Government for receipt of reports on damage to energy supply and distribution systems and requirements for system restoration;
2. Advise Federal, State, and local authorities on priorities for energy restoration, assistance, and supply;
3. Assist industry, State, and local emergency response actions;
4. Assist Federal departments and agencies by locating fuel for transportation, communications, emergency operations, and national defense;
5. Recommend Federal actions to conserve fuel and electric power; and
6. Provide energy supply information and guidance on the conservation and efficient use of energy to Federal, State, and local governments and to the public.

IV. Concept of Operations

A. National Level

1. Assess fuel and electric power damage, energy supply and demand, and identify requirements to repair energy systems:
   a. Coordinate closely with Federal and State officials to establish priorities to repair damaged energy systems, and coordinate the provision of temporary, alternate, or interim sources of emergency fuel and power; and
   b. Obtain current information regarding damage to energy supply and distribution systems and assess the requirements for restoration;
2. Provide timely and credible energy supply forecasts;
3. Provide technical experts on energy supply production and delivery to coordinate energy information exchange;
4. Coordinate with other ESFs to provide timely and accurate energy impact information, recommend options to mitigate impacts, and coordinate repair and restoration of energy systems; and
5. Operate around-the-clock from the DOE Headquarters Operations Center (OC), telephone (202) 586-8100.

B. Regional Level

1. Appoint a person to represent ESF #12 in its dealings with the Federal Coordinating Officer (FCO), the State Coordinating Officer (SCO), and any other pertinent Federal, State, and local officials;
2. Obtain information regarding energy impacts and provide input to situation and other reports to the national ESF through the DOE OC;
3. Coordinate with Federal and State officials and energy industries in the region regarding priorities to repair damaged energy systems; and
4. Through the DOE OC, provide direct coordination with all other DOE response elements.

C. Response Actions

1. DOE's Headquarters Emergency Management Team will:
   a. Activate DOE's disaster response procedures;
   b. Brief the ESF #12 representative to the Catastrophic Disaster Response Group;
   c. Assign, as necessary, staff representation to the Emergency Support Team at FEMA Headquarters;

d. Arrange, as necessary, for ESF #12 representation at the regional level; and

e. Use available information to determine the status and assess the energy impacts of the disaster, including resources needed to respond.

2. At the regional level, ESF #12 will:

a. Receive and respond to requests for information from States, local governments, other Federal agencies, and industry;

b. Assist the FCO and SCO to establish priorities to repair damage;

c. Identify needed resources to repair or restore damaged energy systems; and

d. Provide periodic situation and any other reports as directed by DOE Headquarters.

V. Responsibilities

A. Primary Agency: Department of Energy

1. Serve as the focal point for issues and policy decisions relating to energy in all response and restoration efforts;

2. Monitor energy system damage and repair work;

3. Collect, assess, and provide information on energy supply, demand, and prices; contribute to situation and after-action reports;

4. Identify supporting resources needed to restore energy systems;

5. Deploy DOE response teams as needed to affected area(s) to assist in response and restoration efforts; and

6. Review and sponsor, to the National Communications System, the energy industry's requests for Telecommunications Service Priority (TSP) assignments to provision new services.

B. Support Agencies

1. Department of Agriculture, Rural Utilities Service

a. Provide advice regarding the restoration of electrical power in Rural Utilities Service (RUS)-financed systems. This includes estimating system damage, available supply, and the need for local assistance;

b. Provide emergency credit to RUS-financed rural electrification systems; and

c. Identify surplus power available from RUS-financed systems and other sources, and help make it available to areas of need.

2. Department of Defense

a. Director of Military Support

Report damage assessment and recommend priorities to ESF #12 for restoring energy service to critical defense facilities; and

b. U.S. Army Corps of Engineers

Coordinate emergency power team taskings with power-system restoration activities to assist in setting priorities and ensure that time and resources are not wasted in providing support to a facility that is about to have its power restored.

3. Department of the Interior

a. Bureau of Land Management

(1) Provide information on energy production and supply on Federal lands;

(2) Assess damage to production and transmission systems; and

(3) Provide engineering and technical support as necessary.

b. Bureau of Reclamation

(1) Provide technical assistance for assessment of hydroelectric facilities and flood control actions as they affect energy production;

(2) Utilize Bureau of Reclamation personnel to assist in repair of damaged hydropower generation facilities;

(3) Modify operations at Bureau of Reclamation facilities to increase electrical generation to supplement losses in areas damaged by a disaster; and

(4) Utilize hydroelectric plants' internal restart capabilities to assist in restoring the power system if blackouts occur.

c. Minerals Management Service

(1) For offshore facilities, provide energy production and well reserve information;

(2) Assess energy production damage and projected repair schedules for offshore facilities; and

(3) Provide engineering and technical support as necessary.

4. Department of State

a. Coordinate with foreign nations and international organizations for assistance and information regarding energy supply and system damage; and

b. Assist in implementation of emergency-related international energy agreements.

5. Department of Transportation, Office of Pipeline Safety

Respond to requests for waiver of restrictions to meet emergency requirements.

6. National Communications System

a. Assist DOE in its efforts to aid the energy industry to provide new services or to restore existing services that are assigned TSP restoration priorities; and

b. Assess damage to telecommunications identified by DOE as essential for energy system restoration (Electrical Service Priorities).

7. Nuclear Regulatory Commission

Report power status of nuclear power plants in affected areas.

8. Tennessee Valley Authority

a. Assess supply, system damage, and repair requirements within the Tennessee Valley Authority;

b. Supply surplus power as required to the power grid;

c. Supply critical replacement parts and equipment as requested; and

d. Supply technical expertise as requested.

Recovery Function Annex

I. *Introduction*

A. This portion of the Federal Response Plan (FRP) describes the structure and coordination activities to implement the array of Federal disaster programs, support, and technical services that directly assist individuals, families, businesses (including farms), and State and local governments to recover from the effects of a major disaster or emergency declared by the President. The fundamental assumption is that recovery is a cooperative effort among Federal, State, local, and voluntary agencies and the private sector in partnership.

B. Sometimes disaster events require only the implementation of Federal and State recovery and mitigation programs, like disaster loans, the Hazard Mitigation Grant Program, or Disaster Housing. They may not require Federal emergency response actions, or only limited response actions. For this reason, this new part of the FRP has been included. It has two purposes:

1. To describe separately the coordination and implementation of recovery programs that occur outside the FRP's emergency support function (ESF) structure; and
2. To document the linkages that exist among response, recovery, and mitigation activities.

II. *Definition of Terms, Scope*

A. "Recovery activities" refer to actions by disaster victims that enable them to begin the process of rebuilding their homes; replacing property; resuming employment; restoring their businesses; permanently repairing, rebuilding, or relocating public infrastructure; and mitigating future disaster losses. It also refers to Federal Government programs of assistance, support, and technical services that facilitate disaster victims' recovery actions — such as grants and low-interest loans for repair or replacement of homes, businesses, property, and infrastructure; technical assistance; and education and information.

B. Recovery activities can begin immediately after a Presidential declaration. When search and rescue, lifesaving, and emergency measures are well underway or nearly complete, individuals, families, and businesses seek funding and services to repair or replace their damaged property. State and local governments plan the rebuilding of infrastructure and services, and seek sources of funding for sustainable redevelopment of their communities. The Federal Government collaborates with the State in planning and coordinating the implementation of recovery programs to support families, businesses, and governments and initiates the delivery of recovery services.

C. Recovery activities should be carried out in the context of long-term redevelopment of viable, disaster-resistant communities. In this context, recovery activities include implementation of postdisaster mitigation programs and opportunities for disaster victims at all levels to make wise rebuilding decisions.

III. Policies

A. Federal Authorities

1. The Robert T. Stafford Disaster Relief and Emergency Assistance Act is the authority for implementation of the FRP, including the recovery functions detailed in this document and the National Flood Insurance Program (NFIP). The Federal Emergency Management Agency's (FEMA's) authorities derive largely from the Stafford Act.

2. Other Federal agencies have separate legislation and independent authorities to declare a disaster and to provide assistance. Examples include the Small Business Administration (SBA), whose Administrator is empowered by the Small Business Act of 1953 to declare a disaster for the purpose of providing disaster loan assistance based on physical damage and economic injury; and the Department of Agriculture (USDA), whose Secretary (and other agency officials) may designate counties eligible for various types of emergency loans for physical damage and crop losses. Where these actions occur independently outside a Presidential declaration, the FRP does not apply.

3. Some of the agencies' programs are specifically designed for disaster relief, such as the SBA disaster loan program. Others, e.g., the Department of Housing and Urban Development's (HUD's) Community Development Block Grant program, are not designed as disaster assistance resources but may be used by grantees, in whole or in part, to address disaster recovery needs. Supplemental appropriations may be required to provide the necessary funding.

B. Coordination and Planning as Key Elements in Recovery

1. The Stafford Act assigns to FEMA the principal coordination function — the interactive process by which multiple Federal assistance programs are reviewed, initiated, implemented, and delivered to address the unique needs of a particular disaster area. (FEMA also is responsible for funding, managing, and delivering certain Stafford Act programs.) Systematic coordination among Federal agencies and States is necessary before and during a disaster to ensure effective, efficient delivery of the array of recovery programs that can aid disaster victims in alleviating damage, hardship, loss, and suffering. The Federal coordination process must operate effectively, beginning "bottom up" in the field at the Disaster Field Office (DFO), with the Federal Coordinating Officer (FCO) and staff interacting with State and local governments and being supported by headquarters to resolve major policy and resource issues. The President assigns the FCO and the Governor names a State Coordinating Officer (SCO) to focus interagency coordination.

2. Before a disaster, interagency planning and coordination provide a foundation for strengthening relationships among Federal and State agencies, voluntary organizations, and private sector entities; identifying inconsistencies and overlaps in recovery programs; streamlining program delivery; furthering intergovernmental partnerships; and improving customer service. Coordination is critical to promote efficient, timely, consistent Federal action. A structured approach to recovery planning also incorporates mitigation activities and lays the groundwork for the State to oversee longer term redevelopment and reconstruction that promote sustainable development.

3. Interagency meetings facilitate understanding and familiarity with recovery programs and priorities. Contacts can be fostered in pre-disaster meetings and in meetings during disaster operations with recovery counterparts. Meetings in both settings serve to:

   a. Share management information and assessments;

   b. Identify short-term and more protracted needs;

   c. Discuss resource allocation issues, including funding;

   d. Identify critical environmental issues;

   e. Resolve program duplication issues;

   f. Discuss and resolve timing issues (e.g., establishment of centers and workshops, issuance of public information);

   g. Establish priorities and report progress in meeting established priorities;

   h. Identify and resolve overlaps or shortfalls in Federal or State programs as they arise in the field;

   i. Discuss and suggest solutions for issues arising from Community Relations contacts; and

   j. Ensure coordinated Federal activities that promote community sustainability.

4. The involvement of voluntary organizations and private sector at the national, State, and local levels is critical to the success of a disaster recovery mission. Voluntary organizations, including the American Red Cross, the Mennonite Disaster Service, the Salvation Army, and other organizations, are encouraged to provide leadership and to coordinate with Federal, State, and local governments in recovery planning and program implementation.

   Voluntary Agency Liaisons at FEMA regional offices serve as the principal linkages between FEMA and voluntary organizations, and as conveners and coordinators of voluntary organization local consortiums. These liaisons assist in supporting community-based long-term recovery organizations, aid in developing State-based voluntary coalitions called Voluntary Organizations Active in Disaster (VOADs), and coordinate

between the FCO and voluntary organizations during disaster operations. A counterpart national organization known as the National Voluntary Organizations Active in Disaster (NVOAD) serves as a forum for nonprofit disaster relief organizations to meet in disaster preparedness periods to discuss emergency management issues, share disaster experiences, and develop organizational relationships.

C. Determination of Recovery Program Priorities

1. The overall responsibility for recovery rests with State and local governments. The FRP recognizes the primacy of State and local governments in defining recovery requirements and identifying needs. The Federal Government's role is to complement and supplement State, local, and private resources to facilitate recovery.

2. State and local governments define recovery priorities in the public sector. However, the FCO is charged with making a management information assessment of the needs caused by the disaster or emergency. This assessment builds upon the Preliminary Damage Assessment in that it provides to program managers at all levels of government the information needed to implement, manage, and staff disaster assistance programs and to prioritize the types of assistance most urgently needed. The management assessment should be conducted jointly (as appropriate) between Federal and State agencies, and continue as needed until the programs not only are in operation but are being appropriately implemented.

D. Recovery Concepts and Requirements

As response phases into recovery, and when the Federal partners begin to coordinate recovery program priorities, certain Federal laws and requirements must be used as guidance in initiating and implementing recovery programs.

1. Floodplain Management, Flood Insurance, Environmental Protection, Historic Preservation

Under Executive Order 11988, Floodplain Management, all Federal agencies are required to take action to reduce the risk of flood loss; minimize or eliminate the impact of flooding on human safety, health, and welfare; and restore and preserve the natural and beneficial functions of floodplains while carrying out their programs and activities. Federal agency implementation of E.O. 11988 is critical during recovery because reconstruction or repair activities offer opportunities for economically feasible flood loss-reduction.

Implementation of floodplain management measures through local community participation in the NFIP also is a key component of recovery operations. Local floodplain management ordinances may require repair and reconstruction activities to meet prudent construction code requirements that mitigate future losses. Flood insurance policies now provide additional coverage to assist in paying the costs of bringing existing construction into compliance with current codes.

The Office of Management and Budget and the Council on Environmental Quality jointly issued a policy guidance memorandum on February 18, 1997, entitled Floodplain Management and Procedures for Evaluation and Review of Levee and Associated Restoration Projects, which emphasized the need to consider nonstructural alternatives to flood protection during recovery and the need for coordination at all levels of government. The goal is "to achieve a rapid and effective response to damaged flood and floodplain management systems that will minimize risk to life and property, while ensuring a cost-effective approach to flood damage mitigation and floodplain management and the protection of important environmental and natural resource values that are inherent to the floodplain and adjacent lands."

This policy reflects the fact that recovery should take place in a climate of attention to floodplain management considerations (the Flood Disaster Protection Act of 1973, as amended), E.O. 11988, environmental considerations (the National Environmental Policy Act (NEPA) of 1969, as amended, and other associated environmental laws), and flood insurance purchase and maintenance requirements (National Flood Insurance legislation, including the National Flood Insurance Reform Act of 1994). NEPA provides an umbrella under which agencies review compliance with a host of Federal environmental legislation and other related issues, such as floodplain and wetlands management, endangered species, historic preservation, and environmental justice issues. Some response activities are exempt from specific NEPA review requirements, but must still comply with other environmental statutes. As recovery programs get underway, compliance with environmental legislation deepens, but for the vast majority of projects the environmental review process is expedited through the use of categorical exclusions. FEMA and other Federal agencies follow their agency regulations which specify the level of review required for specific recovery program activities.

In siting temporary or permanent structures, the Federal and State agencies agree to comply, within the bounds of recovery program laws and regulations, with the spirit and letter of floodplain management and environmental legislation as a way of protecting people, property, and structures against future threats. Federal and State agencies also are encouraged to preserve properties with a historical significance as part of the assistance decision-making process.

2. Mitigation and Risk Management

a. Federal agencies commit to assist in rebuilding structures and facilities and restoring land in a way that minimizes risk of future damage and achieves the goal of building disaster-resistant communities. The terms that describe these concepts — "mitigation" and "risk management" — are often used as a unit, when they are defined as "sustained actions taken to reduce or eliminate long-term risk to people, property, and structures from hazards and their effects." The concepts of mitigation and risk management are based on the premise that money spent on mitigation will save significant future money by reducing the vulnerability of individuals, businesses, and communities to future disasters. Mitigation is critical to the responsibility of all Federal agencies to provide short- and long-term solutions to minimize the effects of disasters. The Deputy FCO for Mitigation (DFCO-M)

has a leadership role in promoting the concepts and programs of mitigation and risk management. Mitigation — as a concept translated into functional programs — should permeate all recovery activities undertaken at the State, local, and even individual levels, regardless of the source of funding for activities or projects.

b. Nonstructural alternatives to building and repairing structures and restoring former capability should be considered as mitigation/risk management opportunities (e.g., property acquisition, relocation of flood-threatened structures, insurance, insurance revenue plans). Through early planning and consultation with Federal agencies that have statutory mitigation authorities, agencies should also recognize the balance between objectives in recovery planning, such as those involved with temporary measures vs. permanent restorative work. State and local governments will be provided information and technical assistance required for the careful community recovery planning that will result in future disaster-resistant communities. It is critical to incorporate mitigation and risk management concepts and activities into recovery planning.

3. Other Crosscutting Requirements

In addition to the objectives of floodplain management, environmental protection, historic preservation, mitigation, and risk management, agencies must remain cognizant of additional crosscutting statutory and other reasonable protections in facilitating or providing resources for disaster recovery. These considerations include civil rights, environmental justice, fair housing, affordable housing, sustainable development, seismic safety, affordable insurance, disaster-resistant communities, Federal and State coastal zone management requirements, drought-resistant crop planting, and crop insurance.

IV. Planning Considerations

A. Planning for recovery begins before a disaster. Recovery coordination necessary to implement disaster assistance programs takes place when lifesaving and emergency operations may still be ongoing. The requirements for staffing to be devoted to recovery operations are determined as early as possible.

B. State and local governments are responsible for identifying needs, establishing recovery priorities, and requesting appropriate assistance; for contributing cost-shares as established by law and regulation; for dealing with land use, floodplain management, development, and permitting and land-use waiver issues; and for identifying sites for temporary facilities. State and local resources to carry out these responsibilities may be overwhelmed, requiring Federal technical and financial assistance.

C. In a major disaster of significant impact, the establishment of the formal recovery processes (teleregistration for Disaster Housing, SBA disaster loans, and grants; opening of Disaster Recovery Centers (DRCs)) and implementation of the other agencies' recovery programs should be well-planned and coordinated, and should start as early as practicable.

D. Information-sharing protocols, including formal coordination meetings, are critical for interagency coordination, good customer relations, and program implementation.

E. The lead Federal agency (usually FEMA) has responsibility for coordinating (rather than directing or managing) the implementation and funding processes of other Federal agency programs. FEMA does not fund programs that are within the authorities of another Federal agency, or other agencies' participation in disaster operations.

F. Mitigation programs and choices are most effective and economical if implemented in the early stages of recovery or before a disaster occurs (such as buying insurance or adopting appropriate codes through participation in the NFIP or planning efforts with NFIP Flood Mitigation Assistance funds).

G. The concept of sustainability brings a relatively new approach to environmental, economic, and social thought and has the potential to enhance the achievement of mitigation goals in the postdisaster (as well as pre-disaster) environment. Sustainability is development that maintains or enhances economic opportunity and community well-being while respecting, protecting, and restoring the natural environment upon which people and economies depend. Sustainable redevelopment is simply the application of the concepts and practices of sustainable development to the disaster recovery process.

V. Concept of Operations

A. General

1. Federal agencies operate as a team in disaster recovery, bringing to the table the resources of their agencies to address identified needs. The President's disaster program is coordinated by FEMA. Agencies share their program information and make their assistance available through the coordination mechanism of the FRP when a Presidential declaration is made.

2. The initiation of recovery programs is based on the fact that response actions are well underway (or have not been needed) and recovery actions would not interfere with ongoing response activities; that the communities and families affected are ready for the decision making that the programs require; that effective, coordinated, Federal-State recovery planning continues to take place; and that communications and support facilities for effective recovery have been restored. The FCO makes use of coordination meetings with State and local officials, along with Federal agency recovery officials, to identify priorities and programs requested, identify and resolve funding issues, and review the milestones for program delivery. Milestones should be established only after consultation with all major programs.

3. Recovery program funding is provided directly to the affected State, locality, business, or individual/family. Where assistance is provided to a State for community/infrastructure recovery programs, the State administers the grant and passes the funding to affected communities. (This method contrasts with the funding mechanisms used for response activities that include procurement from commercial sources and issuance of mission assignments to agencies providing direct Federal assistance.)

B. Recovery Organization in the Disaster Field Office

The Emergency Response Team (ERT) Operations Section in the DFO includes a Human Services Branch and an Infrastructure Support Branch. These branches, along with the Deputy FCO for Mitigation, form the program part of the recovery organization. The Operations Section Chief is the central coordination point for Federal and State agencies and voluntary organizations in the implementation of recovery programs. (These responsibilities may be delegated to the Human Services Branch or Infrastructure Support Branch, and also may be accomplished by the DFCO-M.) In addition, liaisons among the Human Services and Infrastructure Support Branches and the Mitigation organization may be appointed for intra-agency coordination. Agencies having recovery programs and support and technical services will be included in the ERT organization. The structure will expand or contract as appropriate, depending on the nature of the disaster recovery needs. Where no response component is established, the operation may be scaled back to include only the Human Services Branch and/or the Infrastructure Support Branch and/or the Mitigation organization.

1. Human Services Branch

a. This branch is staffed by the Individual Assistance Officer, other program officers, DRC personnel, program liaisons, and others. It is led by the Human Services Officer (HSO), whose functions are to:

(1) Assist the FCO to assess individual, family, and business needs in the disaster area and, working with State and local officials and other Federal agencies, initiate programs that address those needs;

(2) Initiate advertisement of FEMA's toll-free teleregistration service and establish one or more DRCs. Openings should be coordinated with the program delivery needs of all Federal and State agencies, including SBA;

(3) Coordinate program implementation with agencies and organizations;

(4) Initiate delivery of the individual assistance programs authorized by the Stafford Act;

(5) Plan and coordinate with the National Processing Service Centers (NPSCs) the receipt and processing of applications for the Disaster Housing program; refer cases to the State for processing in the Individual and Family Grant (IFG) program; and coordinate with SBA the delivery of its disaster loan programs;

(6) In coordination with the NPSCs, ensure policies and procedures are in place to prevent and rectify duplication of benefits or receipt of excessive assistance; and

(7) Perform grant management functions with respect to grant programs for individuals/families that are implemented by FEMA and the State.

b. Where the size of the disaster warrants, the HSO may appoint Assistant or Deputy HSOs, or the Individual Assistance Officer, to manage the specific program groups within the Human Services Branch. FEMA staff, along with

representatives from the State and Federal agencies with assistance programs in each of these groups, should staff the branch:

(1) ESF #6 — Mass Care and ESF #11 — Food. In a recovery operation that also involves response, these ESFs will be included in the Human Services Branch. See the appropriate ESF annex for details and responsibilities.

(2) Disaster Housing Group. A FEMA representative leads this group, along with appropriate State representation, especially if a portion of the mission is to be performed by the State. Functions such as policy coordination, resource identification, and manufactured housing operations (including environmental review), and tasks such as project monitoring and pre-placement interviewing are among the responsibilities of the group.

(3) IFG Group. The IFG program is funded jointly by FEMA and the State, but is administered by the State. FEMA and the State should co-lead this function, which consists of technical assistance to the State, training, funding, grant management, and program monitoring.

(4) Program Coordination Group. This group handles the issues not enumerated above. Particularly important is the function of coordination with SBA and the Farm Services Agency (and other USDA Federal and State agencies). Other agencies that can be coordinated through this group include the Internal Revenue Service, Social Security Administration, Department of Health and Human Services, Department of Labor, and Young Lawyers Division of the American Bar Association. Program emphases include SBA disaster loans, farm programs, tax counseling, Social Security check replacement, Crisis Counseling Assistance and Training, stress management counseling programs, Disaster Unemployment Assistance, and Disaster Legal Services. Establishment of application, intake, or counseling sites to accommodate these and other applicable programs should be coordinated within the group.

(5) Donations Management Group. Where the State is prepared to handle donations management, this function should be led by the State. Otherwise, it should be led jointly by the State and FEMA. Functions include setting up a toll-free telephone number, matching donated goods and services with validated needs, setting up a Donations Coordination Team, and overseeing the shipping, receiving, and distribution of goods and services.

(6) Voluntary Organization Coordination Group. FEMA's Voluntary Agency Liaisons lead this function, which is focused on starting case assistance to address unmet needs, working with voluntary organizations to develop community-based long-term recovery organizations to manage case assistance related to unmet needs, and coordinating volunteers. Representatives from national, State, and local voluntary organizations with programs applicable in the disaster area should staff this function, as far as practicable.

(7) Agencies offering support and technical services in the human services arena will also staff the Human Services Branch.

2. Infrastructure Support Branch

The Infrastructure Support Branch is headed by the Infrastructure Support Branch Chief and is staffed with Public Assistance Officers, Public Assistance Coordinators, and Project Officers who are responsible for the administration and proper operation and delivery of assistance to State and local applicants. Personnel from ESF #3 — Public Works and Engineering and response representatives from ESF #12 — Energy also staff the branch. Staff from other agencies offering support and technical services also may be attached to the branch, as well as liaison with the DFCO-M. The Infrastructure Support Branch Chief's functions are to:

a. Coordinate the implementation and management of recovery programs between and among State and Federal officials;

b. Serve as technical infrastructure program advisor to the FCO;

c. Supervise other Federal agencies providing direct Federal assistance under a FEMA mission assignment;

d. Coordinate the completion of mission assignments;

e. Identify mitigation opportunities; and

f. Work with the Public Assistance Officer to carry out recovery functions for programs authorized under the Stafford Act.

3. Mitigation Operations

a. The Deputy FCO for Mitigation leads this organization, which is staffed with program specialists, field coordinators, and technicians. Activities include:

(1) Coordinate between and among State and Federal officials the implementation and management of mitigation activities;

(2) Provide technical assistance in execution of the Early Implementation Strategy;

(3) Provide technical support to the Human Services Officer, Infrastructure Support Branch Chief, and Community Relations staff;

(4) Plan comprehensively for hazard mitigation;

(5) Address environmental consequences of the disaster, including those in coastal zones;

(6) Map hazards and analyze risks, which may be done by interagency hazard mitigation teams;

(7) Accomplish cost-benefit analysis and training;

(8) Assist communities to develop building codes;

(9) Develop and deliver training and education programs;

(10) Disseminate public awareness and information materials at DRCs;

(11) Establish Reconstruction Information Centers (RICs) to offer mitigation and reconstruction information assistance;

(12) Identify disaster-specific mitigation issues, strategies, opportunities, and measures;

(13) Work within FEMA and other Federal agencies to coordinate opportunities for long-term recovery with State and local planning officials, when appropriate; and

(14) Assist communities to promote sustainable development.

b. As the Human Services and Infrastructure Support Branches are beginning early assessments of needs during response, it is also critical that the Mitigation organization assemble and coordinate relevant Federal and State agencies to assess mitigation program needs and match Federal and State resources and programs to meet those needs. This early implementation strategy sets goals for all mitigation partnership players and provides a platform for ongoing coordination and revision of the strategy as necessary.

c. Several Federal mitigation-related programs (e.g., the NFIP, the Hazard Mitigation Grant Program, and the Earthquake Program) are administered through existing grant mechanisms and standing relationships with State and local governments. These relationships, as well as those established by the FRP and potential relationships with agencies involved in recovery activities, increase the opportunity for communication and coordination of mitigation in the aftermath of a disaster.

d. To achieve optimum effectiveness, mitigation resources and coordination within the recovery context in a DFO should flow through the centralized function of the DFCO-M, using staff of response operations. After DFO closure, the coordination function is transferred to the Mitigation Division of the FEMA Regional Office or another lead Federal agency office. Mitigation operations have the flexibility to adapt to different sizes and types of disasters. Mitigation personnel will participate in intra- and interagency coordination to assist in identifying mitigation opportunities and areas of possible funding.

VI. Assistance to Individuals, Families, and Businesses

This section describes the initiation and coordination of programs providing recovery assistance directly to individuals, families, and businesses. It also describes the initiation of the process by which individuals gain access to Disaster Housing (FEMA), Individual and Family Grant (FEMA-State), and disaster loan (SBA) programs. Other Federal agencies, as well as State and voluntary organizations, also have programs that may be available to disaster victims. A matrix outlining these programs is included at the end of this annex.

A. Program Initiation

Some of the recovery programs for individuals, families, and businesses are automatically triggered by the specific language of the President's declaration. Others, such as the Nuclear Regulatory Commission's insurance benefit program in the event of a nuclear incident and certain farm benefit programs operated by USDA, do not require a Presidential declaration, but may require a local or State request. Still others, such as the Crisis Counseling Assistance and Training program, may be available following a Presidential declaration if needed and upon the Governor's request and specific agency approval. During the initial field-level coordination meetings of recovery agencies, program representatives should advise the FCO on whether any of the needed programs must be requested separately. Plans should be made for:

1. Providing technical assistance to the State for requesting these programs;
2. Arranging for damage or management information assessments;
3. Arranging for any State cost-sharing required by law or regulation; and
4. Noting and observing any time frames associated with those requests.

B. Combined Registration and Inspection for Housing, Disaster Loans, and IFG Assistance

1. FEMA establishes a toll-free registration telephone number (often known as teleregistration) to give individuals, families, and businesses access to three widely used programs: the Disaster Housing program, the SBA disaster loan program, and the IFG program administered by the State. Teleregistration service is available in a variety of languages. The phone bank also offers referrals to many other Federal, State, local, and voluntary organization programs and resources. Agencies having local offices should supply information to FEMA about how to contact them as soon as possible after a disaster declaration, or, ideally, during pre-disaster planning meetings or conferences.
2. FEMA provides inspection services both for the Disaster Housing program and to assist States in administering the IFG program. Inspectors verify the extent of damages and the value of losses to housing and other personal property. FEMA refers applications and inspection information to SBA for its information in addressing housing and personal property needs. Finally, FEMA assists SBA by making additional determinations about whether the applicant should be referred to SBA for a disaster loan based on criteria provided by SBA, and by making subsequent referrals of SBA loan denials to the State for meeting unmet needs.
3. FEMA processes Disaster Housing and IFG applications at NPSCs, which operate another critical customer service, the helpline. Assistance is available through this toll-free telephone number in determining the status of applications and obtaining referrals to sources of assistance other than Disaster Housing, disaster loans, and IFG. Federal, State, local, and private organizations should provide timely and accurate referral information to helpline staff.

4. Disaster Recovery Centers may be opened to provide on-site information services. These may vary in each disaster and include taking applications, serving as a forum for State and local agencies' disaster programs, assisting families and businesses to fill out SBA disaster loan applications, answering status questions, or providing reconstruction and mitigation information. Federal agencies often are represented in DRCs to offer and explain programs that are tailored to meet disaster victims' and service providers' needs (e.g., HUD's section 203(k) mortgage assistance programs for disaster victims). The FCO and HSO will coordinate with Federal, State, voluntary, and private-sector partners who offer services to establish, identify the purposes of, staff, and set the days and hours of operation of these centers.

C. Program Procedures of Other Agencies

Other Federal, State, local, and voluntary organizations have established procedures for accepting and processing disaster applications. They may have toll-free telephone lines or sites where individuals, families, and businesses may receive information and application assistance for their specific recovery programs. Components of other agency programs should be coordinated with the FCO and his/her staff (the ERT Operations Section Chief, Human Services Officer, and/or Infrastructure Support Branch Chief), State and local government staff, and FEMA's Office of Emergency Information and Media Affairs, so that consistent decision making and public information may be provided. Public affairs offices of Federal and State agencies and voluntary organizations should be advised of all recovery activities. Coordination meetings among agencies offering assistance are ideal forums in which to ensure that customers receive accurate, timely service for identified needs.

D. Sequence of Assistance Delivery and Duplication of Benefits

1. Disaster assistance programs for individuals, families, and businesses often overlap in their coverage and purpose. Section 312 of the Stafford Act, Duplication of Benefits, requires that no person, business concern, or other entity receive Federal disaster assistance for any part of a loss that has been covered by any other program, insurance, or any other source. FEMA has established a policy for preventing and rectifying duplication. The duplication of benefits policy excludes expendable items from being considered duplicative. Expendable items include clothing, linens, and basic kitchenware. No checks for duplication need to be made for such items. See 44 CFR 206.191 for a more complete explanation.

2. The policy includes the concept of a sequence of delivery, which establishes the order in which the major forms of overlapping assistance should be provided. The agency that has primary responsibility for delivering a certain type of assistance should provide that assistance first, and may do so without regard to other agencies with similar assistance that are lower in the sequence. Agencies are not prohibited from disrupting the sequence to expedite the recovery of an applicant. However, the agency that disrupts the sequence must take the corrective action. The sequence of delivery is:

    a. Voluntary organizations' emergency assistance; insurance proceeds (including additional living expense benefits);

b. Disaster Housing assistance, including rental assistance, funds for minimal repairs, and provision of housing units;

c. SBA disaster loans for individuals and nonfarm businesses, and USDA disaster loans for agricultural enterprises;

d. IFG awards;

e. Voluntary organizations' additional assistance (i.e., nonemergency) benefits; and

f. Other programs that are not primarily intended for disaster recovery (e.g., FEMA's Cora C. Brown Fund and FEMA's mitigation and property acquisition programs).

An example of duplication of benefits is that FEMA, primary agency in the delivery of Disaster Housing assistance, provides funds for minimal repairs (e.g., a new window or door to make a home habitable). SBA might also include funds for these two items in a loan. This would be a duplication. To rectify it, SBA would be required to recoup the loan or reduce the loan amount by the dollar value of the window or door.

3. FEMA's disaster assistance automated information and processing system is a decision-making tool that aids FEMA, SBA, the State, and voluntary organizations in preventing and rectifying duplication of benefits. Because assistance requests, approvals of assistance, and insurance benefit information are shared, agency decision makers can avoid awarding assistance already provided. Agencies other than FEMA, SBA, the State, and certain voluntary organizations do not normally have access to FEMA's information-sharing system. However, such agencies may request information from FEMA if an applicant has requested their assistance and authorized FEMA to release the information, and if the voluntary organization intends to deliver a benefit that duplicates housing or personal property repair or replacement or delivers medical or death benefits.

VII. Assistance to State and Local Governments

The overall responsibility for accomplishing recovery of public facilities, infrastructure, and essential government services rests with State and local governments. Insurance and Federal agency disaster assistance are supplemental and are not meant to supplant State and local prerogatives, programs, or responsibilities.

There is a broad array of Federal assistance programs for disaster recovery in the public sector. This section describes the delivery system and coordination of recovery assistance programs, many of which are delivered in the form of grants, loans, and direct payments to State and local governments, certain private nonprofit (PNP) organizations, and Indian Tribes. Some forms of State and local assistance are provided as a "pass through" for aiding individuals and families. Others are intended to address recovery needs for planning and support/technical services to augment the capacity of State and local governments.

Much of the Federal recovery assistance directed to State and local governments is directed toward rehabilitation, reconstruction, replacement, or relocation of housing; repairing, replacing, or rebuilding damaged public facilities (e.g., public buildings, utilities, roads, bridges, water control facilities) and infrastructure; and mitigation planning and reconstruction management, incorporating mitigation concepts. This section describes the early coordination mechanisms for activating the appropriate recovery programs and delivering program assistance efficiently and effectively.

A. Coordination Issues in Assistance for State and Local Governments

1. Federal agencies with direct recovery and mitigation programs for State and local governments normally initiate and implement their programs concurrently with FEMA's Public Assistance program. Some Federal programs overlap in coverage and purpose, and may be initiated and operated in various ways.

2. The ERT Operations Section Chief will be the primary focal point for the coordination of Federal recovery assistance to State and local governments, with advice and assistance from the DFCO-M. He/she may delegate the coordination responsibility to the Infrastructure Support Branch Chief (or FEMA Public Assistance Officer) when program or operational issues are limited to State and local assistance programs (such as duplication of benefits, duplication of effort, or program timing). The Public Assistance Officer and State and Federal recovery agencies work together to identify and resolve these issues. Field coordination activities include:

   a. Sharing management information and assessments;

   b. Identifying needs;

   c. Identifying program gaps or funding shortfalls; and

   d. Resolving program duplication issues.

   For example, if restoration of public highways is at issue with respect to which Federal program should fund its repair, the involved agencies (the Federal Highway Administration, Bureau of Indian Affairs, or FEMA) coordinate the determination of which agency should provide funding, based on current legislation, regulations, and purpose of the requested funds.

B. Duplication of Benefits

1. Section 312 of the Stafford Act, Duplication of Benefits, also applies to FEMA's Public Assistance program when it states that the head of each Federal agency will ensure that no person, business concern, or other entity will receive Federal assistance if it has received financial assistance under any other program or from insurance.

2. FEMA's Public Assistance program benefits are supplemental to insurance, which is primary. Actual and anticipated insurance recoveries will be deducted from otherwise eligible costs, thus preventing any duplication of benefits.

3. Additionally, FEMA generally does not fund permanent repair projects when another Federal agency has specific authority to restore facilities damaged or destroyed by an event that is declared a major disaster.

4. Other Federal agencies also are governed by legislation outlining measures to prevent duplication of benefits. The principle involved is that the agencies are charged not to make their Federal funds available for uses the cost of which may be reimbursable by a primary disaster funding source in the sequence of delivery. For example, some costs for repair or replacement of infrastructure are generally first borne by insurance or FEMA's section 406 program, rather than HUD's Community Development Block Grant program or the Economic Development Administration's grant programs.

VIII. Accessing Federal Assistance

A. Major Federal disaster recovery programs and support/technical services are summarized in the following matrix. Included is assistance to individuals, families, businesses, and State and local governments.

B. For more detailed information, State and local officials should consult the interagency publication, Disaster Assistance: A Guide to Recovery Programs (November 1995). They also may contact the appropriate Federal agency's representative in the DFO or the Federal agency's local field office.

Disaster Recovery Programs[1]

Program	Agency	Assistance Provided	Activating Mechanism	Eligibility
Emergency Haying and Grazing	Dept. of Agriculture (USDA), Farm Service Agency (FSA)	Emergency authority to harvest hay or to graze land devoted to conservation and environmental uses under the Conservation Reserve Program.	AWD	I/B
Emergency Loans	USDA, FSA	Low-interest loans to family farmers and ranchers for production losses and physical damage.	PD; designated by Secretary of Agriculture or Administrator, FSA (physical losses only).	I/B
Noninsured Crop Disaster Assistance Program	USDA, FSA	Direct payments to reduce financial losses resulting from a natural disaster that causes production loss or prevents planting of crops grown commercially for food or fiber, for which Federal crop insurance is not available.	AWD	I
Emergency Conservation Program	USDA, FSA	Cost-share payments to rehabilitate farmlands damaged by natural disasters and to carry out emergency water conservation or water-enhancing measures during times of severe drought, in cases when the damage or drought is so severe that Federal assistance is necessary.	AWD	I/B
Agricultural Marketing Transition Act (AMTA) Program	USDA, FSA	Direct payments to eligible producers of program crops that comply with AMTA requirements.	AWD	I/B
Conservation Reserve Program (CRP)	USDA, FSA	Voluntary program that offers annual rental payments, incentive payments for certain activities, and cost-share assistance to establish approved cover on eligible cropland.	AWD	I/B
Farm Operation Loans	USDA, FSA	Loans and loan guarantees to be used for farm operating costs.	N/P	I
Farm Ownership Loans	USDA, FSA	Direct loans, guaranteed loans, and technical assistance for farmers in acquiring or enlarging farms or ranches; making capital improvements; promoting soil and water conservation; and paying closing costs.	AWD	I

[1] The following abbreviations are used throughout this matrix: Presidential declaration (PD); available without declaration (AWD); Federal agency (F); State agency (S); locality (L); individual/family (I); nonprofit organization (N); Indian Tribe (T); business (B); and not provided (N/P).

Program	Agency	Assistance Provided	Activating Mechanism	Eligibility
Emergency Food Assistance (Emergency Food Stamp and Food Commodity Program)	USDA, Food and Nutrition Service (FNS)	Direct payments to States for specified uses.	PD; declaration by the Secretary of Agriculture.	S/I
Food Distribution	USDA, FNS	Donations of USDA-purchased food.	PD; declaration by Secretary of Agriculture and compliance with eligibility criteria.	F/S/L/N
Emergency Watershed Protection (EWP)	USDA, Natural Resources Conservation Service (NRCS)	Direct payments and technical assistance to install structural and nonstructural measures to relieve imminent threats to life and/or property, and to purchase floodplain easements. Technical assistance such as site evaluations, design work, and installation inspections also are provided through the program.	AWD; triggered by NRCS State Conservationist.	S/L/N/B/I
Water Resources	USDA, NRCS	Project grants for the installation of preventive measures such as dams, channels, flood warning systems, purchasing easements, floodplain delineation, and land treatment. Advisory and counseling services also are available.	N/P	S/L/N
Resource Conservation and Development (RC&D)	USDA, NRCS	Technical assistance and loans to finance local project costs. Projects may include land and water conservation, resource improvements, recreational development, and waste disposal projects.	AWD	L/N
River Basin Project	USDA, NRCS	Technical assistance. Special priority is given to projects designed to solve problems of upstream rural community flooding, water quality improvement that comes from agricultural nonpoint sources, wetlands preservation, and drought management for agricultural and rural communities. Special emphasis is placed on helping State agencies develop strategic water resource plans.	AWD; triggered by NRCS State Conservationist.	F/S/L
Soil Survey	USDA, NRCS	Technical assistance. Objective is to maintain up-to-date, published surveys (and soil survey data in other formats) of counties or other areas of comparable size for use by interested agencies, organizations, and individuals; and to assist in the use of this information.	N/P	S/L/N/B/I

Program	Agency	Assistance Provided	Activating Mechanism	Eligibility
Federal Crop Insurance Program	USDA, Risk Management Agency (RMA)	Direct payments of insurance claims. Insurance against unavoidable causes of loss such as adverse weather conditions, fire, insects, or other natural disasters beyond the producer's control.	No activating mechanism is needed, but availability is based on crop-specific sales, closing dates, and the availability of crops in particular counties.	I
Business and Industrial Loan Program (B&I)	USDA, Rural Business Service	Guaranteed and direct loans up to $10 million. Possible disaster uses include drilling wells, purchasing water, or tying into other water programs.	AWD	B/N/T and public bodies
Farm Labor Housing and Grants	USDA, Rural Housing Service (RHS)	Loans and grants to provide housing and related facilities for domestic farmers.	No deadlines.	I/B
Rural Housing Site Loans	USDA, RHS	Loans for the purchase and development of housing and necessary equipment that becomes a permanent part of the development (e.g., water and sewer lines).	AWD	N
Rural Rental Housing Loans	USDA, RHS	Loans for the purchase, building, or repair of rental housing. Funds can also be used to provide water and waste disposal systems.	AWD	I/S/L/B
Emergency Community Water Assistance Grants (ECWAG)	USDA, Rural Utilities Service (RUS)	Project grants to help rural residents obtain adequate water supplies.	PD	S/L/N
Water and Waste Disposal Loans and Grants	USDA, RUS	Project grants and direct and guaranteed loans to develop, replace, or repair water and waste disposal systems in rural areas and towns having populations of 10,000 or less.	AWD	L/N/T
Voluntary Organizations Recovery Assistance	American Red Cross, Mennonite Disaster Service, Salvation Army, and member organizations of the National Voluntary Organizations Active in Disaster	Mass care (shelter and feeding), welfare inquiries, health and mental health services, child care, home repairs (labor and funding), emergency communications, debris removal, burn services, cleaning supplies, personal property, distribution of supplies, transportation, loan personnel, and other specialized programs and services.	Disaster event.	I
Economic Adjustment Program — Disaster Economic Recovery Assistance	Dept. of Commerce (DOC), Economic Development Administration (EDA)	Planning and technical assistance grants to State and local governments for strategic recovery planning and implementation to focus on job retention/creation to help offset the economic impacts of a major disaster.	PD; requires supplemental appropriation (SA).	S/L/N/T

Program	Agency	Assistance Provided	Activating Mechanism	Eligibility
Economic Adjustment Program — Disaster Economic Recovery Assistance	DOC, EDA	Revolving loan fund grants to State and local governments to provide a source of local financing to support business and economic recovery after a major disaster where other financing is insufficient or unavailable.	PD; SA	S/L/N/T
Economic Adjustment Program — Disaster Economic Recovery Assistance	DOC, EDA	Infrastructure construction grants to address local recovery implementation needs for new or improved publicly owned infrastructure after a major disaster, support job creation and retention, leverage private investment, and help accelerate and safeguard the overall economic recovery of the disaster-impacted area.	PD; SA	S/L/N/T
Corporation for National Service (CNS) Programs	CNS	Volunteers of all ages/backgrounds provide short/long-term response and recovery assistance. They are available through the community or national deployment.	PD	F/S/N/T
Beach Erosion Control Projects	Dept. of Defense (DOD), U.S. Army Corps of Engineers (USACE)	Specialized services. USACE designs and constructs the project.	Decision of the Chief of Engineers.	S/L
Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works	DOD, USACE	Specialized services to assist in the repair and restoration of public works damaged by flood, extraordinary wind, wave, or water action.	Approval by HQUSACE.	S/L/N/I
Emergency Water Supply and Drought Assistance Programs	DOD, USACE	Emergency supplies of clean drinking water for human consumption and construction of wells.	Assistant Secretary of the Army for Civil Works designates the area as “drought distressed.”	L
Flood and Post-Flood Response, Emergency Operations	DOD, USACE	Specialized services, such as flood fighting and rescue, protection of federally constructed shore or hurricane projects, and postflood response assistance.	Designation by USACE district commander.	S/L
Watercourse Navigation: Protecting, Clearing, and Straightening Channels	DOD, USACE	Specialized services, such as clearing or removing unreasonable obstructions to navigation in rivers, harbors, and other waterways or tributaries.	Decision of the Chief of Engineers.	S/L

Program	Agency	Assistance Provided	Activating Mechanism	Eligibility
Community Disaster Loan Program	Federal Emergency Management Agency (FEMA)	Program provides loans not greater than 25% of the local government's annual operating budget.	PD	L
Cora C. Brown Fund	FEMA	Grants to disaster victims for unmet disaster-related needs.	PD, designation for individual assistance.	I
Crisis Counseling Assistance and Training Program (CCP)	FEMA; Dept. of Health and Human Services (HHS)	Grants to States providing for short-term counseling services to disaster victims.	Governor's request.	I, via S
Fire Suppression Assistance Program	FEMA	Project grants. FEMA approves a grant to a State on the condition that the State takes measures to mitigate natural hazards, including consideration of nonstructural alternatives.	Decision by FEMA.	S
Hazard Mitigation Grant Program (HMGP)	FEMA	Project grants to implement hazard mitigation plans and prevent future loss of lives and property.	PD	L/N, via S
Individual and Family Grant (IFG) Program	FEMA	Grants to individuals administered by the State. Objective is to provide funds for the expenses of disaster victims that cannot be met through insurance or other assistance programs.	PD, designation for individual assistance. Requires specific request by State Governor.	I, via S
Legal Services	FEMA	Free legal advice and referrals. Assistance includes help with insurance claims, counseling on landlord-tenant and mortgage problems, assistance with home repair contracts and consumer protection matters, replacement of legal documents, estate administration, preparation of guardianships and conservatorships, and referrals.	PD, designation for individual assistance.	I
National Flood Insurance Program (NFIP)	FEMA	Insurance benefits against losses from floods, mudflow, or flood-related erosion.	AWD	I/B/S
NFIP, Community Assistance Program	FEMA	Grants to States for technical assistance to resolve floodplain management issues.	AWD	S/L
Public Assistance Program	FEMA	Project grants. Funds can be used for clearing debris, emergency measures, and repairing or replacing damaged structures, roads, utilities, public buildings, and infrastructure.	PD, designation for public assistance.	L/N, via S

Program	Agency	Assistance Provided	Activating Mechanism	Eligibility
Disaster Housing Program	FEMA	Direct-payment grants and services. Grants include transient accommodation reimbursement, and home repair, rental, and mortgage assistance. Services may include a mobile home.	PD, designation for individual assistance.	I
Regulatory Relief for Federally Insured Financial Institutions	Federal Deposit Insurance Corporation (FDIC) and other Federal regulatory agencies	Specialized services. Supervisory agencies can grant regulatory relief to insured institutions. Regulatory relief includes lending assistance, extensions of reporting and publishing requirements, waivers from appraisal regulations, and implementation of consumer protection laws.	PD; other disaster that affects the ability of a federally insured financial institution to provide normal services.	N/B
Donation of Federal Surplus Personal Property	General Services Administration (GSA)	Donations of surplus personal property to eligible recipients.	N/P	S/L/N/public airports.
Disposal of Federal Surplus Real Property	GSA	Sale, exchange, or donations of property and goods.	N/P	S/L/N
Disaster Assistance for Older Americans	HHS, Administration on Aging	Direct payments to State agencies focused on aging-related services.	PD	I, via S
Mental Health Disaster Assistance	HHS, Public Health Service	Project grants to provide emergency mental health and substance abuse counseling to individuals affected by a major disaster.	Supplemental appropriation by Congress relating to PD.	I, via S
Community Development Block Grant (CDBG) Program — Entitlement Grants	Dept. of Housing and Urban Development (HUD), Community Planning and Development (CPD)	Formula grants to entitlement communities. Preferred use of funding is for long-term needs, but funding may also be used for emergency response activities.	Supplemental appropriation by Congress relating to PD.	L
CDBG — State's Program	HUD, CPD	Formula grants to States for non-entitlement communities. Preferred use of funding is for long-term needs, but funding may also be used for emergency response activities. States establish methods of fund distribution.	Supplemental appropriation by Congress relating to PD.	L, via S
Mortgage Insurance for Disaster Victims Program (Section 203 (h))	HUD	Provides mortgage insurance to protect lenders against the risk of default on loans to qualified disaster victims whose homes are located in a presidentially designated disaster area and were destroyed, requiring reconstruction/replacement. Insured loans may be used to finance the purchase or reconstruction of a one-family home that will be the principal residence of the homeowner.	PD	I

Program	Agency	Assistance Provided	Activating Mechanism	Eligibility
Reclamation States Emergency Drought Relief Act of 1991	Dept. of the Interior (DOI), Bureau of Reclamation	Loans, grants, use of facilities, construction, management and conservation activities, and purchase of water for resale or for fish and wildlife services. Temporary drought assistance may include the drilling of wells, installation of equipment, improved reporting of conditions.	Request for drought assistance and approval by Commissioner of Reclamation.	F/S/N/I
Disaster Unemployment Assistance (DUA)	Dept. of Labor (DOL); FEMA	Direct payments of DUA benefits and reemployment assistance services. Objective is to provide assistance to individuals who are ineligible for regular unemployment compensation programs and who are left jobless after a major disaster.	PD, designation for individual assistance. PD may be limited to DUA only.	I, via S
Employment: Job Training Partnership Act (JTPA), National Reserve Emergency Dislocation Grants	DOL, Employment and Training Administration	Program provides States with grant money to provide individuals with temporary jobs and/or employment assistance.	PD	I, via S
Price-Anderson Act	American Nuclear Insurers and Nuclear Regulatory Commission (NRC) (for commercial nuclear power plants); Dept. of Energy (for DOE facilities)	Payment of liability claims that arise from a nuclear power reactor accident. Insurance-provided assistance may compensate victims for increased living expenses after an evacuation, unemployment, business losses, environmental cleanup, reduced property values, and costs associated from bodily injury.	AWD	I
Price-Anderson Act	NRC	Insurance reimburses States and municipalities for costs necessarily incurred in providing emergency food, shelter, transportation, or police services in evacuating the public after a nuclear power reactor accident.	AWD	S/L
Economic Injury Disaster Loans (EIDLs)	Small Business Administration (SBA)	Direct long-term, low-interest loans to small businesses and agricultural cooperatives. Loans are only available to applicants with no credit available elsewhere, and the maximum amount of an EIDL is $1.5 million.	PD; declaration of a disaster by the Secretary of Agriculture and/or SBA-declared disaster.	B
Physical Disaster Loans (Business)	SBA	Direct long-term, low-interest loans to businesses and nonprofit organizations. Loans provided to repair or replace uninsured property damages caused by disasters. Loans limited to $1.5 million.	PD or SBA declaration.	N/B

Program	Agency	Assistance Provided	Activating Mechanism	Eligibility
Physical Disaster Loans (Individual)	SBA	Direct long-term, low-interest loans to homeowners and renters to repair or replace uninsured damages caused by disasters to real and personal property. Loan amounts limited to $200,000 to repair or replace real estate, and to $40,000 to repair or replace personal property.	PD or SBA declaration.	I
Social Security Assistance	Social Security Administration (SSA)	Advisory and counseling services to process SSA survivor claims, assist in obtaining necessary evidence for claim processing, resolve problems involving lost or destroyed SSA checks, and reprocess lost or destroyed pending claims.	PD; AWD	I
International Donations	Dept. of State	Donations including goods and cash.	Request for international coordination assistance from FEMA's Donations Coordinator.	I
Transportation: Emergency Relief Program	Dept. of Transportation (DOT), Federal Highway Administration (FHWA)	Formula and project grants to repair roads. FHWA can provide: (1) up to $100 million in funding to a State for each natural disaster or catastrophic failure; and (2) up to $20 million in funding per year for each U.S. territory. Special legislation may increase the $100 million per State limit.	PD; AWD	F/S
Alcohol and Tobacco Tax Refund	Dept. of the Treasury, Bureau of Alcohol, Tobacco, and Firearms	Specialized services to provide Federal alcohol and tobacco excise tax refunds to businesses that lost assets in a disaster.	PD	B
Savings Bonds Replacement or Redemption	Treasury, Bureau of Public Debt	Specialized services. Bureau of Public Debt expedites replacement of U.S. Savings Bonds lost or destroyed as a result of a disaster.	PD	I
Taxes: Disaster Assistance Program	Treasury, Internal Revenue Service (IRS)	Advisory and counseling services. IRS provides information about casualty loss deductions, claim procedures, and reconstruction of lost financial records.	PD	I/B
Forbearance on VA Home Loans	Dept. of Veterans Affairs (VA)	Encourage lenders to extend forbearance to any borrowers who have VA home loans and who are in distress as a result of disaster; provide incentives to such lenders.	PD	I

Recovery Support/Technical Services

Support/Service	Agency	Assistance Provided	Activating Mechanism	Eligibility
Coastal Zone Management; Hazards, Environmental Recovery, and Mitigation	DOC, National Oceanic and Atmosphieric Administration (NOAA)	Assistance to State and local governments in mitigation and recovery/ restoration planning, postevent permitting assistance, water-level data for storm-surge and flooding prediction and mitigation.	PD for postevent; AWD from coastal State(s) for pre-event planning.	S
Re-establishing Local Survey Networks	DOC, NOAA	Provision of survey mark data to local and State agencies for re-establishing their geodetic control networks; re-establishment of national network if warranted.	PD; AWD depending on funding availability.	S/L
Coastal Zone Management Administration Awards	DOC, NOAA	Grants to States for the management of coastal development to protect life and property from coastal hazards.	AWD requires supplemental appropriation by Congress relating to PD for poststorm coastal hazard mitigation and recovery activities.	S/L/T via S
Coastal Zone Management Fund	DOC, NOAA	Emergency grants to State coastal zone management agencies to address unforeseen or disaster-related circumstances.	AWD subject to amounts provided in appropriation acts. No funds currently appropriated.	S/L/T via S
Technical Support	DOC, NOAA, National Weather Service	Technical assistance for weather, water, and climate warning systems and critical information dissemination systems. Poststorm data acquisition activities.	AWD	F/S/L/N/T
Technical Support	DOC, National Institute of Standards and Technology	Disaster damage surveys, assistance in procurement of consulting services, evaluation of structural and fire performance of buildings and lifelines.	Federally declared disasters to buildings and lifelines, on cost-reimbursable basis.	F/S/L

This page intentionally left blank.

Community Relations Support Annex

I. *Introduction*

A. Purpose

This annex provides guidance on the Community Relations (CR) function to expedite Federal, State, and local governments' ability to help citizens and communities recover from the effects of a major disaster. The CR function deploys field officers into affected communities after a major disaster to gather and disseminate information about the disaster response and recovery process. CR serves as a direct link to these communities and works in close coordination with other program elements to develop and deliver messages related to the availability of Federal disaster assistance.

B. Scope

This annex discusses the policies, responsibilities, and concept of operations for the CR element in a potential, imminent, or federally declared disaster.

II. *Policies*

A. The CR function is responsible for assessing and documenting the social, political, and cultural aspects of a disaster area that might affect the disaster response and recovery effort.

B. The CR function is designed to ensure that the citizens of disaster-affected communities are aware of available Federal disaster assistance programs and how to access them.

III. *Planning Assumptions*

A. CR management and field officers will deploy simultaneously with other initial disaster response elements as warranted by the situation.

B. Up-to-date resource databases will be available to provide established contacts, relationships, and rosters of local government officials and appropriate community groups and organizations.

C. Current, accurate, and accessible geographic and demographic databases are readily available.

D. CR will coordinate with all elements of the Emergency Response Team (ERT) to ensure that information disseminated in the field is timely and consistent.

IV. Concept of Operations

A. General

1. Preparation by Federal Emergency Management Agency (FEMA) regional staff for an anticipated or actual event will include coordinating with the affected State(s), collecting relevant information on the situation, alerting required staff, and deploying CR personnel to, or near, the affected area.
2. In coordination with other staff elements, an initial Community Relations Plan, with disaster-specific guidance and objectives, will be prepared jointly by the CR Coordinator and the appropriate State official at the beginning of each disaster operation.
3. The CR function will be performed jointly by the Federal and State personnel, when available, working to achieve the objectives specified in the Community Relations Plan. Field teams will be organized and dispersed throughout the affected area. They will include trained Federal, State, and, if necessary, locally hired persons who know the community. The cultural, racial, and ethnic makeup of the affected population (including languages spoken) will be taken into consideration to the extent possible when making field team assignments.
4. The CR element coordinates closely with the affected State(s) to identify community leaders (e.g., grassroots, political, religious, educational, business, labor, ethnic) and neighborhood advocacy groups to assist in the rapid dissemination of information, identify unmet needs, establish an ongoing dialogue and information exchange, and facilitate collaborative Federal, State, and local planning and mutual support for disaster recovery.

B. Organization

Community Relations is a staff element of the ERT. The CR Coordinator reports directly to the Federal Coordinating Officer (FCO). A functional organization chart is shown in Figure CR-1. Major CR functions can be expanded or streamlined to meet the needs of the disaster.

1. CR Operations

The CR Operations element is responsible for organizing and managing the CR field component, which interfaces with local governments, community organizations, and disaster victims. The field component may be divided into geographic areas and sectors, depending on the size and nature of the disaster.

Area Managers are assigned to disasters that affect a large geographic area and/or have a large number of sector teams. Area Managers assist in the supervision of sector teams to maintain an appropriate management span of control and enhance day-to-day communications. Each CR sector will have an assigned Sector Manager who reports to the Field Operations Chief or Area Manager as appropriate. An appropriate number of field officers are assigned to each sector.

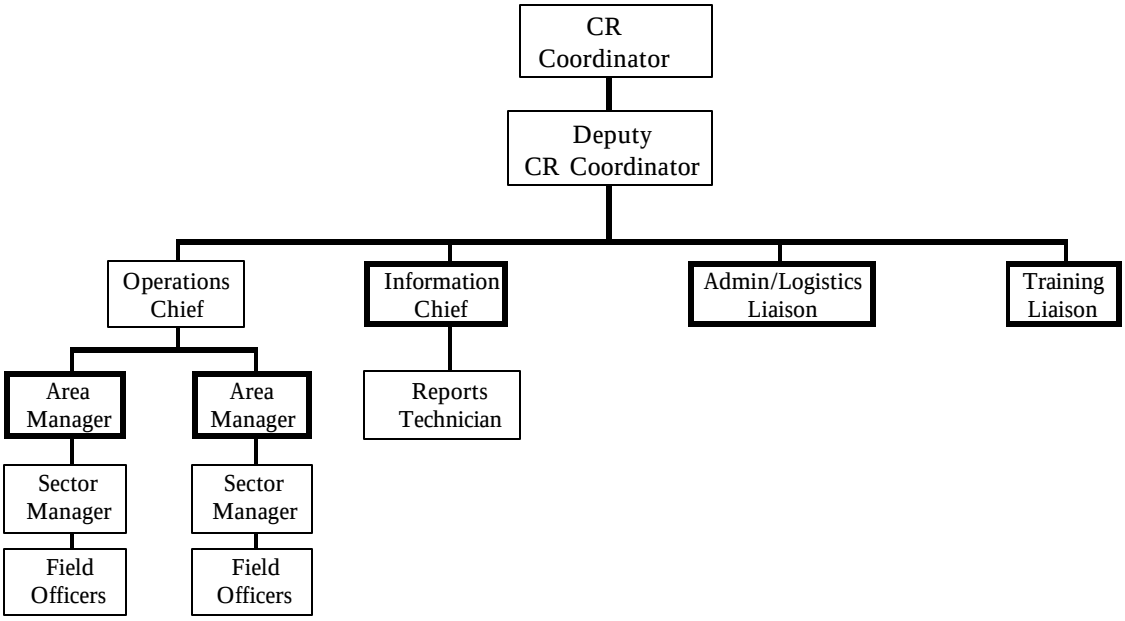


Figure CR-1 — ERT CR Structure
(Positions in boxes with heavier lines are activated only during large-scale disasters.)

2. CR Support

Depending on the size and nature of a disaster, the CR function may include an Information element, an Administrative/Logistics Liaison, and/or a Training Liaison. The Information element manages the timely flow of CR information to and from the FCO, the CR field component, and other Disaster Field Office sources. The Administrative/Logistics Liaison provides short-term logistics support to field officers and coordinates the long-term administrative and personnel activities of the CR function. The Training Liaison identifies training needs and provides disaster-specific orientation and training, supported by the Disaster Field Training Office.

C. Notification

In response to an anticipated or actual regional event, CR staff will be notified, activated, and deployed through the regional CR cadre manager. Regions may request additional staff through FEMA Headquarters at any time. Staff from other FEMA regions and Headquarters may be used to augment regional CR operations in large disasters as needed.

D. Response Actions

The number of CR field officers and extent of involvement throughout disaster response and recovery operations will be governed by the CR Plan and any subsequent amendments. Specific activities and responsibilities of CR field officers will be in accordance with procedures and guidance contained in the CR Operations Manual and CR Field Operations Guide.

V. Responsibilities

A. Primary Agency: Federal Emergency Management Agency

1. In conjunction with the disaster-affected State, ensure an efficient and reliable flow of disaster-related information between victims and public and private organizations that provide assistance;
2. Supply the CR function with a staff of trained personnel;
3. Ensure that the CR function promotes equal access to disaster assistance consistent with the Stafford Act and Title VI of the Civil Rights Act; and
4. Establish and adhere to standardized procedures that provide for a consistent level of CR services to disaster victims.

B. Support Agencies

1. Department of Justice, Community Relations Service

The Community Relations Service of the Department of Justice, through a FEMA mission assignment, can provide conciliation and mediation training and technical assistance in matters of race, color, or national origin; conflict resolution; problem solving; cultural awareness; and community tension assessments.

2. Corporation for National Service

The Corporation for National Service (CNS) is responsible for providing assistance to States and collaborating agencies to perform specific functions for disadvantaged or special-needs disaster victims. CNS, through a memorandum of understanding with FEMA, can be provided a FEMA mission assignment to support the CR function. CNS can provide teams of trained personnel to be strategically placed in areas of heaviest need to assist the elderly, the physically or mentally disabled, and low-income populations. CNS includes AmeriCorps USA, Volunteers in Service to America (VISTA), National Civilian Community Group, and Retired Senior Volunteer Program.

VI. References

A. Community Relations Operations Manual.

B. Community Relations Field Operations Guide.

Congressional Affairs Support Annex

I. Introduction

A. Purpose

This annex provides guidance on congressional liaison activities in support of the Federal Government's response to a major disaster or emergency requiring Federal assistance. Under the Federal Response Plan (FRP), the purpose of the congressional liaison function is to coordinate the dissemination of information to Members and committees of Congress and advise agency officials of congressional concerns, anticipated congressional action, and legislative developments.

B. Scope

This annex applies to all agencies with responsibilities under the FRP.

II. Policies

A. The Federal Emergency Management Agency (FEMA) will coordinate its congressional liaison activities with other FRP agencies to ensure consistency of the "Federal message" throughout the response.

B. Staffing in support of congressional liaison activities in the field will be determined in part by the number of States and congressional districts affected.

C. Each Federal agency will designate a congressional relations specialist in Washington, DC, as required.

D. In a large-scale or catastrophic disaster, each Emergency Support Function (ESF) primary agency may deploy at the request of FEMA a Congressional Affairs Representative (CAR) to the field.

III. Planning Assumptions

A. There will be immediate and continuous demand from Members of Congress for information on the impact, magnitude, and damage resulting from the disaster.

B. Initial reports of damage may be fragmented and provide an incomplete picture of the extent of the damage. This will adversely affect the ability to provide timely information to Members of Congress in the initial stages of the disaster response.

C. The State will generally be the most authoritative source of vital information regarding damage and initial response needs.

IV. Concept of Operations

A. General

1. Effective congressional liaison requires integrated and mutually supportive action by the following FEMA congressional affairs staff:

   a. Congressional Relations Officer (CRO), designated by the Director, FEMA Office of Congressional and Legislative Affairs. The CRO is located at FEMA Headquarters and is a member of the Emergency Support Team (EST);

   b. Congressional Liaison Officer (CLO), located with the Federal Coordinating Officer (FCO) at the Disaster Field Office (DFO); and

   c. Deputy Congressional Liaison Officer (DCLO), located in the Joint Information Center (JIC) or the Congressional Affairs office at the DFO, if necessary.

2. Integrated Federal interaction with the Congress requires a coordinated interagency congressional liaison effort.

   a. At the headquarters level, the FEMA CRO will conduct daily coordination sessions, if necessary, with congressional liaison staff from each Federal agency involved; and

   b. In a large-scale or catastrophic disaster, FRP primary agencies may deploy a CAR to the field at the request of FEMA. Each CAR will work at the DFO under the direction of the FEMA DCLO. The CAR is responsible for monitoring all Federal activities for that ESF, providing appropriate information to the affected congressional offices, and responding to incoming congressional inquiries.

B. Organization

1. National-Level Response Structure

   a. The CRO will provide congressional relations support to the Catastrophic Disaster Response Group (CDRG) and the EST. The CRO will have primary responsibility for coordinating all congressional events in the Washington, DC, area pertaining to the disaster response and recovery operations. The CRO will:

      (1) Serve as primary congressional liaison advisor to FEMA Headquarters response officials;

      (2) Support the efforts of the congressional liaison activities in the field;

      (3) Coordinate the timing and content of information to Washington, DC, congressional offices;

      (4) Serve as a conduit for information requests received by FEMA in Washington, DC, from congressional offices;

      (5) Coordinate the flow of information between the FEMA Office of Congressional and Legislative Affairs and the Federal response and recovery effort;

(6) Coordinate with the Washington, DC, congressional liaisons of other Federal agencies to ensure consistency of the Federal message and logistical coordination;

(7) Provide input through the Director, FEMA Office of Congressional and Legislative Affairs, to the White House Legislative Affairs office on overall Federal congressional relations; and

(8) Coordinate, within FEMA and among the Federal agencies, information pertaining to legislative developments (such as hearings) or background material for special legislation.

b. The FEMA Office of Congressional and Legislative Affairs will serve as primary congressional liaison advisor to FEMA Headquarters response and recovery officials. This office will:

(1) Provide logistical support to the CRO;

(2) Answer incoming inquiries from congressional offices;

(3) Assist the CRO in developing written materials for presentations and making congressional notifications; and

(4) Receive information from the CRO and electronically provide data to congressional affairs officers of the involved agencies.

2. Field-Level Response Structure

a. The CLO will deploy from the FEMA Office of Congressional and Legislative Affairs and will report to the FCO. Collocated with the FCO, the CLO will manage Federal congressional liaison activities in the field. The CLO will:

(1) Serve as primary congressional liaison advisor to the FCO and FEMA on-site response officials;

(2) Manage congressional liaison staff and operations in the field;

(3) Serve as congressional liaison on the Emergency Response Team (ERT);

(4) Support congressional liaison activities in Washington, DC, and serve as primary contact for the headquarters CRO in the field;

(5) Coordinate congressional and other dignitary trip requirements generated from both Washington, DC, and the field;

(6) Coordinate with other Federal agency personnel to ensure consistency of the Federal message;

(7) Provide information to the headquarters CRO for reports to the White House Legislative Affairs office on Federal congressional relations for the disaster response;

(8) Coordinate with the FCO in the development of policy and its impact on the congressional delegation;

(9) Serve as a base for background information on Members of Congress and their previous experiences with the Federal agencies during disasters; and

(10) Develop strategies for the FCO on issues and impediments regarding the delivery of Federal programs during disasters.

b. The DCLO will report to the CLO. The DCLO will establish operations at the discretion of the FCO or CLO in either the JIC or the Congressional Affairs office in or near the disaster area and will:

(1) Manage Federal congressional liaison operations for the CLO;

(2) Monitor events in the JIC and DFO to keep the CLO current;

(3) Ensure prompt notification to congressional offices of significant events, to include coordinating the timing and content of information;

(4) Serve as a conduit for information requests received by FEMA in the field from congressional offices; and

(5) Manage inquiry and notification tracking systems.

c. In a large-scale or catastrophic disaster, a CAR may be deployed if necessary by each ESF primary agency to the disaster site. (The DCLO will interface with ESF #5 — Information and Planning. The Department of Defense will provide congressional affairs support for the National Communications System.) Each CAR will report to the DCLO. The CAR will:

(1) Monitor the activities of the primary and support agencies of the CAR's ESF;

(2) Make congressional notification calls, in conjunction with the DCLO;

(3) Respond to congressional inquiries pertaining to ESF areas of responsibility; and

(4) Provide support and congressional feedback to the DCLO.

C. Response Actions

1. Headquarters Level

a. Congressional Relations Officer

(1) Initial Actions

(a) Establish immediate priorities based on information about the extent and impact of damage, State request(s) for assistance, the scope of Federal efforts, congressional offices representing the affected area, and staffing of response operations at FEMA Headquarters, the DFO, and other field locations in conjunction with the FEMA Office of Congressional and Legislative Affairs;

(b) Establish a system for keeping the FEMA Office of Congressional and Legislative Affairs informed on issues and the progress of response and recovery operations;

(c) Establish contact with congressional offices representing affected areas in order to provide information on the FEMA mission and activities, the Federal-State relationship in recovery operations, and where to obtain information on Federal activities and the daily congressional briefing;

(d) Provide profiles of Members and feedback from contacts with congressional offices to the EST Director;

(e) Establish and monitor tracking systems for open requests from congressional offices and blanket notifications;

(f) Serve as contact with headquarters CROs from other Federal agencies and maintain channels of communication through daily meetings and conference calls;

(g) Organize an initial interagency congressional briefing within 18 hours of the event and conduct daily briefings thereafter. (Briefings need not be open to the press.) The target audience is Members and staff from any congressional office representing the affected area, and staffs from committees for appropriations, disaster relief, and authorization; and

(h) Work with agency Public Affairs Officers (PAOs), including actions such as obtaining all press releases and schedules of JIC press conferences, exchanging pertinent response and recovery information, etc.

(2) Continuing Actions

(a) Coordinate Federal information to support legislative initiatives;

(b) Present information to committee staff through the Director, FEMA Office of Congressional and Legislative Affairs, in support of agency legislative requests;

(c) Arrange field trips for Members of Congress and staff. Coordinate with the CDRG, EST Director, congressional liaisons from other Federal agencies, FEMA Office of Emergency Information and Media Affairs, and FEMA CLO;

(d) Conduct daily conference calls and/or briefings with congressional liaisons of other Federal agencies to review notifications and developments (field and headquarters) of the past 24 hours, coordinate congressional interagency briefings, and identify information needs, including congressional requests for testimony or legislative technical assistance;

(e) Conduct briefings for Members of Congress and their staffs as required;

(f) Coordinate summary reports of Federal congressional relations activities for the White House Legislative Affairs office; and

(g) Manage the flow and timing of release of congressional affairs information between headquarters and the DFO.

b. Office of Congressional and Legislative Affairs

(1) Initial Actions

(a) Compile lists (telephone, fax, Internet, address, etc.) of congressional offices representing the area affected by the disaster;

(b) Make logistical arrangements for daily congressional briefings on the Hill;

(c) Verify list of Federal agency personnel assigned to perform disaster recovery congressional relations; and

(d) Collect information to communicate to the field (e.g., biographies of Members, maps of congressional districts, and historical data on districts).

(2) Continuing Actions

(a) Distribute information to CLOs in the field (FEMA and other Federal agencies);

(b) Track, respond to, and/or assist in congressional inquiries and notifications;

(c) Attend JIC press conferences; and

(d) Maintain constant communications with the CLO, DCLO, CRO, and FEMA Office of Emergency Information and Media Affairs to ensure timely exchange of information.

2. Field Level

a. Congressional Liaison Officer

Initial and continuing response actions of the CLO include:

(1) Obtain information on impact of disaster, damage assessments, State requests for assistance and areas requested, anticipated Federal response and agencies involved, immediate problems and priority issues, logistical information on the JIC and DFO operations, etc.;

(2) Discuss with the FCO congressional priorities and congressional involvement to date, CRO operations, expected level of involvement by the FCO in congressional matters, etc.;

(3) Contact and work with the FEMA Office of Congressional and Legislative Affairs CRO, PAO on site, regional congressional point of contact, and congressional offices representing the affected area;

(4) Develop an operations plan to cover priorities, staffing (including the DCLO's role in the JIC/DFO), and a daily strategy for proactive congressional liaison;

(5) Establish and monitor systems to obtain information for Members of Congress, track incoming congressional inquiries and notifications, and determine reporting requirements;

(6) Meet with the DCLO and ESF CARs to review congressional relations strategy, operations, etc.;

(7) Within 18 hours of setup and with the participation of the FCO, conduct an initial briefing of Members of Congress and their staffs on the Federal role, Federal-State relationship, what can be expected from the Federal Government, and the role of the congressional offices in recovery. Include priorities, accomplishments to date, anticipated actions, Federal-State-local operations, process for accepting donations, contact for 24-hour notification, etc.;

(8) Provide to the FCO summaries on Members affected (including expected level of their involvement), impact on their districts and other significant issues, biographical sketches of Members (including their affiliation, term in office, major committee assignments and leadership positions, and location of district offices);

(9) Maintain logs of CLO/DCLO actions and provide summary information to the FCO and FEMA Headquarters;

(10) Schedule daily coordination meetings with the PAO and attend FCO meetings with other Federal agencies (including ERT meetings);

(11) Develop itineraries and coordinate logistics with FCO staff, other Federal agency representatives, State staff, and the PAO in preparation for visits by Members and staffs; and

(12) Monitor rumor control activities and outreach feedback and take appropriate action.

b. Deputy Congressional Liaison Officer

Initial and continuing response actions of the DCLO include:

(1) On arriving at the disaster scene, contact the CLO to be briefed on all aspects of the operation to date, strategies, procedures, etc.;

(2) Set up operations in the JIC or Congressional Affairs office as directed by the CLO, ensuring that space and equipment are ready for operations;

(3) Develop a plan of operations (to include priorities, staffing, the DCLO's role in the JIC or Congressional Affairs office, congressional follow-up resulting from JIC conferences, etc.);

(4) Develop procedures to obtain public information as soon as it is cleared by the JIC, as well as "canned" and new information developed by Federal agencies;

(5) Establish and maintain a tracking system for congressional inquiries and notification, log of CLO actions taken, filing system (by Member) to collect information for use in profiles and background, etc.;

(6) In coordination with the CAR(s) and Deputy PAO, prepare timely fact sheets for use by Members' offices; and

(7) Prepare summary reports and submit daily to the CLO.

c. Congressional Affairs Representative

Initial and continuing actions of agency CARs include:

(1) Support the DCLO in establishing priorities, preparing notification statements for DCLO approval, making congressional notification calls, providing feedback on congressional reaction, etc.;

(2) Establish contact with operational staff or ESF agencies and monitor ESF activities;

(3) Maintain input to congressional inquiry and notification tracking systems; and

(4) Respond in a timely fashion to congressional inquiries pertaining to the ESF of responsibility.

Donations Management Support Annex

I. *Introduction*

A. Purpose

This annex provides guidance on the Federal role in Donations Management in a major disaster or emergency. Any reference to donated goods and services in this annex means *unsolicited* goods and *unaffiliated* volunteer services.

1. State and local governments have primary responsibility for the management of unsolicited goods and unaffiliated volunteers.
2. The Federal Government supports State and local governments and voluntary organizations in establishing a system to manage and control donated goods and services. The system will provide a method for any potential donor to consult and negotiate with donations specialists prior to the collection and sending of goods and volunteers.

B. Scope

This guidance applies to all agencies with direct and indirect donations responsibilities under the Federal Response Plan (FRP).

II. *Policies*

A. Full use of existing voluntary organization donations management resources is encouraged before the assistance of the Federal or State governments is sought.

B. The role of the Federal Government is always in support of the disaster-affected State and local governments. State and local governments, in coordination with voluntary organizations active in disaster, are ultimately in charge of Donations Management.

C. Federal and State governments look principally to those voluntary organizations with established donations structures already in place to receive and deliver appropriate donated goods to disaster victims.

D. Necessary response activities for Donations Management that may be undertaken by the Federal Emergency Management Agency (FEMA) before a Presidential declaration will be closely coordinated with State officials.

E. The Federal Government encourages cash donations to recognized nonprofit voluntary organizations with disaster experience.

F. The Federal Government encourages individuals interested in volunteering their personal services to affiliate with a recognized nonprofit voluntary organization to facilitate their involvement in disaster relief activities.

III. Planning Assumptions

A. Donations management response activities are necessary before a Presidential disaster declaration and hence require rapid coordination to mitigate potential donations problems in the response phase of disaster operations.

B. In the event of a disaster causing large-scale loss of life and destruction of property, donors (both domestic and foreign) will offer assistance of virtually any kind, including cash, goods, equipment and loan of equipment, and the services of individuals.

C. Offers of assistance will be made directly to all levels of government — Federal, State, and local — as well as to voluntary organizations.

D. In less-than-large-scale or "high-visibility" disasters, Donations Management will be handled by voluntary organizations with or without Federal or State involvement.

IV. Concept of Operations

A. General

1. Management of donations requires a cooperative effort by Federal, State, and local governments; voluntary and community-based organizations; the business sector; and the media.

2. FEMA supports the State Donations Coordinator and voluntary organizations. The affected State and local governments, in conjunction with their voluntary organization partners, are in charge of developing donations management plans and managing the flow of goods and services during disaster response and recovery operations.

3. Federal support provided by FEMA (as the Federal coordinating agency for Donations Management) and other Federal agencies may include:

   a. Enhanced voluntary organization coordination;

   b. Assistance in establishing a Donations Coordination Team and a Donations Coordination Center;

   c. Technical and managerial support;

   d. A national network of information and contacts to assist donations specialists in the field; and

   e. Donations management software and communications support as necessary.

B. National-Level Responsibilities

1. Federal Emergency Management Agency

a. Make early contact with the key Donations Coordinators of the national voluntary organizations and the affected region for donations situation assessment;

b. Based on the affected region's request for assistance, provide donations program guidance, a Donations Coordinator, and other assistance as appropriate;

c. Continue to provide support and assistance to the field, especially regarding international offers of assistance, large corporate offers, or politically sensitive collection drives; and

d. With the appropriate Federal agencies, coordinate international offers of assistance that meet acceptance criteria established by the affected State and FEMA.

2. Department of State

The Department of State, Office of Diplomatic Contingency Programs (DOS-A/DCP), serves as the conduit to all American embassies and consulates worldwide, providing them with information on FEMA, State, and voluntary organization policies and procedures on donated goods and services.

a. As required, coordinate all actions and special issues with related agencies (e.g., Agency for International Development, U.S. Information Agency) concerning foreign offers of assistance and special requirements;

b. Serve as the coordinating agency on DOS actions for domestic disasters under the FRP;

c. Inform the Emergency Support Team (EST) donations specialist of offers being made by foreign governments and provide assistance as necessary; and

d. Coordinate with the EST donations specialist to ensure that all foreign donors receive acknowledgment of the assistance they provide.

3. Department of the Treasury, U.S. Customs Service

In coordination with the EST donations specialist and DOS-A/DCP, expedite the entry of approved donated items into the United States.

4. Department of Justice, Immigration and Naturalization Service

In coordination with the EST donations specialist and DOS-A/DCP as necessary, expedite the entry of approved individuals into the United States.

C. Regional-Level Responsibilities

1. Federal Emergency Management Agency

a. On establishment of a Regional Operations Center, the region designates a point of contact for donations at that facility.

b. At the State Emergency Operations Center, other State facility, or Disaster Field Office, the FEMA Donations Coordinator *assists* the State Donations Coordinator as needed in:

(1) Establishing a Donations Coordination Team;

(2) Setting up a Donations Coordination Center, including a donations hotline;

(3) Ensuring that the appropriate donations receiving and distribution facilities are established and operating effectively;

(4) Coordinating with FEMA-State Emergency Information and Media Affairs staff on public service announcements, press releases, and other media-related support;

(5) Coordinating with FEMA Voluntary Agency Liaison (VAL), congressional affairs, community relations, logistics, Defense Coordinating Officer, and other Federal agencies as necessary; and

(6) Preparing input for situation reports, briefings, and VIP visits as necessary.

2. Department of Transportation

a. Arrange for transportation as necessary;

b. Provide information on transportation routes; and

c. Provide guidance and support on transportation rules, regulations, and requirements as needed.

3. Department of Defense

Provide logistical support and other resources as needed and available.

4. General Services Administration

Provide supplies, services, equipment, and facilities as needed.

V. Reference

The Donations Management Guidance Manual (FEMA 278) includes information on preparedness and planning, checklists, standard operating procedures, donations management flow diagrams, public information materials, and voluntary organization points of contact.

VI. Terms and Definitions

A. Donations Coordination Center

Facility from which the Donations Coordination Team operates. It is best situated in or close by the State Emergency Operations Center for coordination purposes. It must have enough rooms for a phone bank, processing by team members of calls from prospective donors, and negotiating the shipping and receiving of needed items.

B. Donations Coordination Team

A Donations Coordination Team is made up of representatives of voluntary organizations and State and local governments who have a vested interest in the effective management of unsolicited donated goods and voluntary services. The team is managed by the State emergency management agency. Its mission is to implement the State Donations Management Plan, with the aim of keeping unneeded goods and services out of the disaster area.

C. FEMA Voluntary Agency Liaison (VAL)

Each FEMA region has, and FEMA offices in Hawaii and Puerto Rico have, a FEMA VAL. There is also a VAL at the National Emergency Training Center in Emmitsburg, MD. The VAL is responsible for providing advice on voluntary organization coordination and assisting States in developing State Voluntary Organizations Active in Disaster (VOAD). In disaster operations, the VAL assists the local leadership in convening broad-based meetings at which voluntary organizations, FEMA, and the State share information about the status of response and recovery activities.

D. In-Kind Donations

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

E. National Voluntary Organizations Active in Disaster (NVOAD)

NVOAD is the umbrella organization of established and experienced voluntary organizations that provide disaster services in all phases of emergency management. NVOAD fosters cooperation, communication, coordination, and collaboration among voluntary organizations. It also encourages close working partnerships among voluntary organizations and government at all levels. It is not operational as an organization.

F. Unaffiliated Volunteer

Also known as a “spontaneous” or “emergent” volunteer; an individual who is not formally associated with a recognized voluntary disaster relief organization.

G. Undesignated Goods

Largely unsolicited, donated items that are not addressed to a specific recipient.

H. Unsolicited Goods

Donated items that have not been requested by government officials, voluntary disaster relief organizations, or other donations-related personnel.

I. Voluntary Organizations Active in Disaster (VOAD)

VOAD is a coalition of voluntary organizations organized at State and local levels. In nondisaster periods, it meets to discuss emergency management issues and encourage cooperation, communication, coordination, and collaboration among voluntary organizations. In the response period, each individual organization functions independently, yet cooperatively.

This page intentionally left blank.

Financial Management Support Annex

I. *Introduction*

A. Purpose

This annex provides basic financial management guidance to Federal departments and agencies that respond to a major disaster or emergency under the provisions of the Federal Response Plan (FRP). Its intent is to ensure that funds are provided expeditiously and that financial operations are conducted in accordance with established law, Federal policies, regulations, and standards.

B. Scope

This annex is applicable to all Federal agencies with responsibilities under the FRP.

II. *Operating Assumptions*

The financial management organization and operations described in this annex are based on the following assumptions:

A. Expenditures from the Federal Disaster Relief Fund (DRF) may be required. To ensure proper accountability of these funds, Federal financial principles, policies, regulations, and management and internal controls will be applied.

B. Under the provisions of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, the President may direct any Federal agency, with or without reimbursement, to use the authorities and resources granted to it under Federal law (including personnel, equipment, supplies, facilities, and managerial, technical, and advisory services) in support of State and local assistance efforts.

C. Upon the occurrence of an event that results in a Presidential major disaster or emergency declaration, funding may be made available from the DRF.

D. Federal agencies will be reimbursed for eligible work or services performed under a mission assignment (MA) issued by the Federal Emergency Management Agency (FEMA).

III. *Responsibilities*

A. FEMA Chief Financial Officer

1. The FEMA Chief Financial Officer (CFO) serves as the senior Federal financial official under the FRP. The CFO's responsibilities are to:

    a. Oversee all financial management activities relating to the operations of the DRF to ensure that sound financial management practices and standards are applied;

b. Coordinate FEMA's requests for disaster funding with the Office of Management and Budget (OMB) and Congress, ensure that adequate funding levels are maintained to meet projected expenditures for specific disaster declarations, and ensure that all funds expended from the DRF are in accordance with generally accepted accounting principles for Federal agencies, the General Accounting Office's (GAO's) Policy and Procedures Manual, Title 2 and Title 7, the Government Accounting Standards Board, and Federal Accounting and Standards Advisory Board, as well as Treasury Department procedures and guidelines; and

c. Serve as the primary advisor to the Chairman of the Catastrophic Disaster Response Group (CDRG) on financial matters involving the DRF and keep the CDRG informed on the status of funds made available for the disaster operation.

2. The CFO will appoint a Comptroller from a cadre of qualified individuals to oversee Disaster Field Office (DFO) financial operations.

3. The CFO will ensure expeditious processing of all documented requests for reimbursement from Emergency Support Function (ESF) primary agencies; ESF support agencies whose bills are submitted through, and approved by, the primary agency; and other agencies tasked directly by FEMA.

4. The CFO will apply proper financial principles, policies, regulations, and management and internal controls for the expenditure of funds appropriated to the DRF.

B. Comptroller

1. To further strengthen financial controls over FEMA's disaster activities, the Comptroller function was established. The Comptroller will serve as the senior financial advisor to the Federal Coordinating Officer (FCO) and will be accountable to the CFO for financial management and reporting. The Comptroller also may be deployed to the Regional Operations Center before the DFO opens.

2. The Comptroller's responsibilities include but are not limited to:

a. Timely processing of funding requests (Requests for Allocations);

b. Preparing Requests for Allocation Advice;

c. Working with FEMA program staff to ensure adequate funding levels are maintained to meet expenditures;

d. Monitoring expenditures, including tracking funds at both object and sub-object code levels; tracking and reporting commitments, obligations, and disbursements against the disaster-specific fund from not only the DFO but also any other site; reviewing each commitment to ensure proper expenditure of funds;

e. Reporting funding activity to the FCO/Disaster Recovery Manager (DRM) and CFO on a regular basis;

f. Providing policy guidance to the FCO/DRM and his/her staff;

g. Managing the financial oversight of FEMA's disaster response and recovery activities; and

h. Providing the FCO/DRM with the necessary expertise and authority essential for effective fiscal management of expenditures from initial disaster response activities to closure of the DFO.

3. Functions under the Comptroller's purview include fund control activities; financial document control; mission assignment reviewing, processing, and tracking; travel; and acquisition.

C. FEMA Regional Director

1. The FEMA Regional Director (RD) of an affected region serves as the financial official responsible for stewardship of FEMA funds for a specific State's disaster or emergency situation.

2. The RD's responsibilities are to:

   a. Ensure administrative control of the DRF. The existing regional financial processing unit supports disaster financial operations prior to the establishment of a DFO;

   b. Prepare budget estimates for disaster funding requirements and request allocation of funds; and

   c. Authorize the commitment, obligation, and payment of funds provided under the provisions of the Stafford Act.

3. The RD may delegate authority to the FCO/DRM to carry out the responsibilities of the RD.

4. After the DFO closes, the RD may revoke his delegation of authority to the FCO/DRM and resume performance of the financial management responsibilities vested in the FCO/DRM.

D. Federal Coordinating Officer/Disaster Recovery Manager

The FCO/DRM is delegated authority by the Regional Director to exercise the authority vested in the RD for a major disaster or emergency. Therefore, all of the financial authorities vested in the RD are vested in the FCO/DRM. The FCO/DRM can delegate authority for approval of specific financial management transactions to other FEMA officials.

1. The FCO/DRM is responsible for project management, which may be delegated to designated Project Officers. For procurement of equipment and supplies, the Logistics Section will provide Project Officers, unless otherwise agreed upon between the Logistics Section Chief, the Comptroller, and the mission-assigned agency.

2. FEMA officials who are delegated mission assignment signature authority are referred to as Federal Approving Officials (FAOs). In addition, every MA has a designated Project Officer, who is responsible for performing project management responsibilities on behalf of the FCO/DRM.

E. FEMA Office of Inspector General

The FEMA Office of Inspector General's (OIG's) responsibilities are to:

1. Assist the FCO in preventing and detecting fraud, waste, and abuse;
2. Serve as the point of contact with other Federal, State, and local law enforcement agencies on law enforcement matters;
3. Ensure the integrity of delivery of disaster assistance;
4. Respond to, and investigate allegations of, fraud and other criminal activity affecting FEMA; and
5. Recommend to the OIGs of other agencies audits of agency performance and financial management of mission assignments.

F. Other Federal Agencies

1. Other Federal agencies providing disaster assistance under their own authorities independent of the Stafford Act are to use their own funding.
2. Other Federal agencies providing assistance under the Stafford Act via mission assignments may seek reimbursement from FEMA for eligible costs incurred during performance of the mission.
3. The General Services Administration (GSA) may function as a procurement agent to obtain goods and services for Federal agencies other than FEMA. In these cases, GSA arrangements are independent of FEMA and all obligations incurred for goods and services for other Federal agencies will be billed directly to the ordering agency. Other Federal agencies should request reimbursement from FEMA only after receipt of a bill.
4. Other Federal agencies receiving reimbursement from FEMA for goods and services furnished under the provisions of the Stafford Act are to record such funds to the appropriation used to cover the expenditure.
5. Each ESF primary agency, in conjunction with its support agencies, should advise the FCO/DRM of the amount and distribution of funding required in support of the ESF.
6. Each ESF primary agency is responsible for tasking support agencies by completing a subtasking document that describes the work to be performed, estimates date of completion, and establishes a funding limitation. The ESF primary agency is responsible for monitoring the work progress of a subtasked support agency and approving the request for reimbursement submitted by the support agency, through the primary agency, to FEMA.
7. Each ESF primary agency should review all requests for reimbursement for goods and services from subtasked agencies. The ESF primary agency Project/Program Administrator will certify to FEMA that the expenditures claimed have been reviewed and are relevant to the mission assigned, and that costs are reasonable and supported by documentation.

8. Each Federal agency involved is responsible for:
   a. Maintaining documentation to support requests for reimbursement;
   b. Notifying FEMA when a task is completed;
   c. Submitting partial or final reimbursement requests within 90 days of completing a task. Final bills should be marked "Final";
   d. Providing monthly status reports to FEMA;
   e. Identifying a staff-level point of contact for financial coordination with the Office of Financial Management/Disaster Finance Center (OFM/DFC), and identifying a headquarters-level point of contact for billing and reimbursement issues that cannot be resolved at the staff level; and
   f. Applying proper financial principles, policies, regulations, and management and internal controls to ensure full accountability for the expenditure of DRF funds.

G. Certifying Officer

A certifying officer is an individual designated in writing with responsibility and authority to verify that payments are legal, proper, and credible. A certifying officer is accountable for and may be required to personally reimburse the Government for any illegal or otherwise improper payment made because of his or her inaccurate certification to a disbursing officer.

In accordance with 31 U.S.C. 3528, the ESF primary agency, in consultation with its support agencies' Project/Program Administrators, will be held accountable for the computations and supporting records for reimbursement requests for goods and services performed under a mission assignment issued by FEMA. Any illegal, improper, or incorrect reimbursement resulting from a false, inaccurate, or misleading certification will be resolved in accordance with guidance from GAO.

IV. Concept of Operations

A. Disaster Field Office

Upon issuance of a disaster declaration, a Comptroller will be deployed to the site to immediately begin overseeing policies and procedures for financial management and internal controls. The operations and functions in the Comptroller's Office will include:

1. The Comptroller who is accountable to the CFO for financial management and reporting of DRF activities.
2. The Finance Branch Chief/Deputy Comptroller who will report to the Comptroller and oversee the Finance Office. Duties include supervising the Comptroller's staff, providing the Comptroller with financial reports, ensuring the timely processing of funding requests, establishing and maintaining a system to accurately track and monitor financial documents, and ensuring adherence to FEMA and other Federal financial policies, procedures, and regulations.

3. The Funds Control Group which will process funding requests (Requests for Allocation) on a timely basis; monitor commitments, obligations, and expenditures; track funds; monitor program funding levels; identify trends in commitments and obligations; report funding activity; and inform program points of contact on the status of funding levels. The Group will notify program managers when funding increases are necessary and coordinate the increase with OFM.
4. The Mission Assignment Group which will coordinate MAs, process Requests for Federal Assistance (RFAs), identify costs associated with direct Federal assistance, obtain approvals, and track and process financial documentation required for monitoring expenditures, including the tracking of funds at object and sub-object code levels. The MA Group also will be responsible for providing pertinent financial documentation and information to the OFM/DFC to allow for timely reimbursement of invoices and the coordination of State cost-share billings.
5. The Travel Group which will prepare travel vouchers using the Travel Manager System, perform quality assurance reviews, and transmit travel information to the OFM/DFC.
6. The Acquisition Group which will be responsible for both Disaster Contracting and Disaster Grants Management. Contracting responsibilities include the full range of pre-award and award functions in support of Regional Contracting Officers. Grants management responsibilities include establishing consistent practices and providing guidance with regard to grants management.

B. Emergency Support Team

The designated Finance Branch Chief is the CFO's representative to the Emergency Support Team (EST) and serves as the liaison between the EST and FEMA's Office of Financial Management. The Finance Branch Chief provides the EST Director with the necessary expertise and authority essential for effective fiscal management of expenditures from the DRF during initial disaster response activities.

C. Disaster Finance Center

The OFM/DFC, located in Berryville, VA, will:

1. Process all DRF payments;
2. Serve as the point of contact for inquiries relating to bill processing and payments;
3. Receive and review bills prior to processing payments to ensure that proper documentation supports the expenditures claimed;
4. Initiate chargebacks to FEMA's account for On-Line Payments and Collections (OPAC) system payments that are not supported with documentation;
5. Perform periodic reviews of open obligations to ensure accuracy and timeliness;
6. Provide financial management reports on DRF activities;

7. Track emergency aid (identified on the RFA) and bill the State cost-share portions; and
8. Track and initiate closeout procedures for each mission assignment.

V. Funding

A. Reimbursable Budget Authority

1. FRP agencies may submit to OMB an annual estimate of the amount of reimbursable budget authority required to carry out their responsibilities under the Stafford Act. The Stafford Act authorizes reimbursement for the delivery of interagency work or services to provide disaster assistance. Eligible expenses incurred in the execution of mission assignments issued under the authority of the Stafford Act should be charged to the other Federal agency's reimbursable account. Agencies will request reimbursement from FEMA.
2. When FEMA issues an MA to provide goods and services in support of Federal, State, and local assistance efforts, it has incurred an obligation. As work is completed, agencies should request reimbursement for goods and services rendered.
3. An interagency agreement is the funding mechanism used between agencies to provide goods and services on a reimbursable basis. Under the Stafford Act, the interagency agreement is referred to as a mission assignment and is executed using an obligating document called a Request for Federal Assistance. MAs are similar to interagency agreements, except they are exempt from the Economy Act and are governed by the Stafford Act.

B. FEMA-State Agreement

Federal funding to a State will be authorized under the individual FEMA-State Agreement and passed to the State by electronic funds transfer through the Payments Management System (PMS) operated by the Department of Health and Human Services (HHS). After FEMA enters the authorized amount in the HHS PMS, the recipient State requests the funds transfer via computer communications to HHS. This FEMA payment process is commonly referred to as "SmartLink" and is administered by OFM.

C. Cost Projections for Funding Requirements

The purpose of cost projections is to strengthen financial management of the DRF and determine funding requirements. The projections do not represent a request for budget authority for the respective agencies.

1. After initial response operations begin, FEMA organizations and ESF primary agencies, in consultation with support agencies, will estimate their total funding requirements for the duration of disaster operations.
2. The process of developing these projections should begin with the lowest operational level (i.e., FEMA program/administrative staff, ESF agencies in the field) and build upward. Agency officials operating closely with both State officials and the FCO/DRM will have the best insight into the demands for Federal assistance. Cost

projections for the field will be forwarded to the FEMA CFO, where headquarters-level resource requirements may be added. Any unresolved issues regarding resource estimates will be presented to the CDRG for discussion and recommendations.

3. Cost projections for funding of disaster operations in the field must be developed by State (for a multi-State disaster), by ESF, by agency, and by major object class, if known (as described in OMB Circular A-11, Preparation and Submission of Budget Estimates (Part 1)).

VI. Financial Controls, Guidance, and Organization

A. General

Timely financial support for response activities is crucial in saving lives and protecting property. Expeditious means will be employed to provide financial management support to achieve operational objectives. Agencies are responsible for developing and maintaining a cost-effective system of management controls to ensure that Government activities are managed effectively, efficiently, economically, and with integrity in order to prevent fraud, waste, and abuse.

B. Management Controls and Automated Systems

1. When entrusted with or statutorily made responsible for public funds, Government employees are, in effect, trustees for the taxpayers. These "accountable officers" include authorized certifying officers, civilian and military disbursing officers, collection officers, and other employees who by virtue of their employment are responsible for or have custody of Government funds. These officials are personally liable for the loss or improper payment of the funds for which they are accountable. They will ensure that all bills are properly documented when recommending approval/disapproval of expenditures from the DRF.

2. Each ESF primary agency is responsible for establishing effective administrative control of funds and segregation of duties for proper management controls. A responsible official of each agency should be designated as the Project/Program Administrator to ensure that actions taken and costs incurred are consistent with the mission assignments issued by FEMA. These same officials validate requests to FEMA for reimbursement of eligible expenditures.

3. Special care must be taken throughout the disaster operations to maintain logs, formal records, and file copies of all expenditures from the DRF to provide accountability and justification for reimbursement.

4. Accountable officials must rely on the adequacy of automated systems, controls, and personnel who process transactions as detailed in the Federal Managers' Financial Integrity Act of 1982 (31 U.S.C. 3512(c)) for recurring assessment by agency management of the adequacy of accounting systems and management controls. Standards for internal controls and accounting systems are contained in Title 2 of GAO's Policy and Procedures Manual and OMB Circulars A-123 (Management Accountability and Control) and A-127 (Financial Management Systems).

C. Financial Organization at FEMA Headquarters

1. The CFO will provide financial management support to the field. When the EST is activated to support a disaster, the CFO will appoint a representative to serve on the EST.
2. The CFO will serve as the financial point of contact for the Chairman of the CDRG, providing advice on financial management relating to the disaster.

D. Financial Organization in the Field

1. The CFO's office provides financial management support to the field.
2. As the CFO's on-site representative at the DFO, the Comptroller will provide the FCO the necessary expertise and authority essential for effective fiscal management and will provide financial policy guidance to primary and support agencies at the DFO.
3. FEMA personnel rostered for financial positions on the Emergency Response Team are activated and deployed to the DFO to support financial management operations.
4. Federal agencies performing work under the Stafford Act must be prepared to process financial transactions in support of their own operations. Whether other Federal agency financial transactions are processed at the DFO or another location, the agency should designate a financial liaison to the DFO. The liaison should be a financial management professional or someone knowledgeable of the agency's financial operations. A financial liaison will ensure expeditious dissemination of financial guidance and information.

VII. Reimbursement of Federal Agencies

A. General

Under the statutory authority of the Stafford Act, mission assignments to other Federal agencies provide the authority to perform work, provide services, and acquire materials, with a funding limitation, on a reimbursable basis. Agencies can request reimbursement for eligible expenditures from FEMA. All requests for reimbursement must contain adequate documentation to support expenditures being reimbursed. All requests for reimbursement will be processed by the OFM/DFC.

B. Mission Assignments

After the occurrence of any event that may result in a declared major disaster or emergency requiring Federal assistance, FEMA may selectively task some or all of the ESFs of the FRP. When an ESF is tasked to do work, a mission assignment is issued to the primary agency with a funding limitation and the requirements for the task(s) to be performed. FEMA also may task agencies directly for work outside the scope of the ESFs.

1. MAs are work orders to other Federal agencies directing performance of specified tasks. Pre-declaration authority for MAs at Headquarters resides with the FEMA Director and the Associate Director, Response and Recovery Directorate, and in the regions with

the Regional Director. Upon activation, MA authority may be delegated to the EST and Regional Operations Center Director. Upon declaration, the RD appoints a DRM, usually the FCO. The vehicle used to obligate funds for disaster relief to other Federal agencies for authorized expenditures is the Request for Federal Assistance.

2. Separate MAs should be issued for the three basic forms of emergency aid, i.e., direct Federal assistance, Federal operations support, and technical assistance. To allow for the proper accounting requirements associated with the cost-share program, the RFA should be marked with the appropriate form of emergency aid, the date and time of receipt of request, and should designate the percentage of State cost-share. Federal agencies should break down the charges indicating the specific county(ies) where the work was actually performed. No county breakout is needed if a cost-share waiver has been extended stipulating 100 percent Federal funding for all the affected counties. The FEMA Project Officer will notify agencies if the county breakout is required.

3. ESF primary agencies may subtask support agencies as necessary to accomplish these tasks. The primary agency will alert its support agencies that their assistance may be required. If a primary agency decides that the services of a support agency are needed in accordance with the requirements of the Stafford Act, the primary agency issues a subtasking document with a funding limitation to the support agency.

4. Federal agencies may provide disaster assistance under the provisions of an MA. However, as a State becomes capable of resuming its own disaster operation responsibilities, MAs may be terminated and the work continued by the State. The State may file a claim with FEMA.

5. Agencies tasked by FEMA will submit monthly progress reports to FEMA, to include cost data when an MA takes more than 60 days to complete. The status report will include the status of the work being performed, status of the MA obligation amount, total obligations against that amount, projected expenditures, and the anticipated/ actual completion date. Agencies should submit the last bill, marked “Final,” no later than 90 days after completion of the MA.

6. The Project Officer will monitor the work in coordination with the tasked agency. FEMA may determine to discontinue the MA at any time by written notification to the tasked agency, specifying a termination date and requesting a final billing, accompanied by an MA transmittal form marked “Final.”

7. FEMA will reimburse Federal agencies for eligible costs associated with providing assistance under an MA, and will collect the State cost-share portion of the costs when applicable. Payments to vendors by other Federal agencies should be made to comply with the Prompt Payment Act. Interest penalty payments are the responsibility of the other Federal agency and only will be reimbursed when caused by FEMA.

C. Expenditures Eligible for Reimbursement

1. Policies and procedures for reimbursement of other Federal agencies are described in FEMA regulations 44 CFR 206, subpart A, section 206.8. Paragraph C of this section specifically states which costs are eligible for reimbursement. The Associate Director,

Response and Recovery, or RD may approve the reimbursement of costs that are contained in this paragraph.

2. In accordance with 44 CFR 206, subpart A, section 206.8, paragraph C, regular labor for permanent Federal agency personnel and overhead costs are not eligible for reimbursement, except when the costs incurred would normally be paid from a trust, revolving, or other fund.

   a. Agencies that qualify and may be seeking reimbursement for overhead must submit certified annual overhead rate proposals to the OFM/DFC for approval prior to requesting reimbursement. OMB Circular No. A-87, Cost Principles for State, Local, and Indian Tribal Governments, will be used as a guideline for these proposals.

   b. The Financial Manager of the agency requesting reimbursement of either regular labor of permanent Federal agency personnel or overhead costs must provide written certification with the bill, stating that costs would normally be paid from a trust, revolving, or other fund.

3. Cost of Federal assistance provided by agencies performing work pursuant to disaster assistance authorities independent of the Stafford Act are not eligible for reimbursement.

D. Methods of Reimbursement

The preferred methods for reimbursing Federal agencies are Treasury's OPAC system and electronic funds transfer.

E. Reimbursement for Property

Agencies providing support under the authority of the Stafford Act will account for personal property in accordance with the requirements contained in the Logistics Management Support Annex to the FRP.

Management controls for the procurement of personal property should provide reasonable assurance that:

1. Obligations and costs are in compliance with applicable laws;
2. Funds, property, and other assets are safeguarded against fraud, waste, loss, or unauthorized use; and
3. Expenditures in support of agency operations are properly authorized and recorded in order to maintain accountability over the assets.

F. Reimbursement Requests and Closeout

1. To ensure fiscal accountability and improve the accuracy of the DRF, agencies may submit bills on a monthly basis regardless of the billing amount. Agencies may submit a series of partial bills or one final bill; however, agencies should submit a final bill no

later than 90 days after completion of the mission assignment, or upon written notification from FEMA that the MA is terminated. If no further requests for reimbursement are forthcoming, the agency must submit a letter stating such.

2. Separate reimbursement requests are required for each individual MA. Requests for reimbursement for amendments to the original MA may be consolidated since they relate directly to the initial tasking. Agencies may use computer-generated spreadsheets if all required data elements are incorporated in the spreadsheet. Agencies should submit proposed spreadsheets to the OFM/DFC and receive prior approval for use as a reimbursement document.

3. Requests for reimbursement must identify the disaster and MA number and break down charges by major object class. Agencies may be asked to provide invoices, receiving reports, timesheets, travel vouchers, and contracts to support labor costs, overtime, equipment, and similar charges. If regular time and overtime labor are billed, they should be identified separately on the invoice, by either object class or description.

4. Requests for reimbursement for the three forms of emergency aid (direct Federal assistance, Federal operations support, and technical assistance) are to be separated and reported by costs. Federal agencies should indicate date, time, and address (county) where work was performed in order for FEMA to accurately bill the States for their cost-share portion.

5. Requests for reimbursement will be submitted by the ESF primary agency. The ESF primary agencies will receive and review requests for reimbursement from all subtasked agencies. ESF primary agency program officials will ensure that bills are properly documented and recommend approval/disapproval according to whether the activity was properly authorized, goods were received, and services were provided. Approval is assurance that the expenditures claimed have been reviewed and are relevant to the MA, that the costs are reasonable and supported by records maintained by the respective agencies, and that the primary agency agrees that FEMA should make payment to the support agency from the original obligation to the primary agency.

6. ESF primary agencies will return all disapproved requests for reimbursement with supporting documentation to the subtasked agency. Reasons for return will be noted on or attached to the reimbursement request. Primary agencies will forward all approved requests for reimbursement with supporting documentation to the OFM/DFC for payment and notify the subtasked agency of the disposition. The mailing address for the OFM/DFC is:

FEMA
Office of Financial Management
Disaster Finance Center
P.O. Box 800
Berryville, VA 22611
Attention: Mission Assignments

For FedEx delivery the address is:

FEMA
Building 708
19844 Blue Ridge Mountain Road
Bluemont, VA 22012
Attention: Mission Assignments

7. Organizations that do not fall under an ESF or that have been tasked directly by FEMA will bill FEMA directly.

8. All goods and services ordered by GSA for other Federal agencies, regardless of whether agencies are executing FEMA-issued MAs, will be billed to the ordering agencies. GSA will use the ordering Federal agency's fund citation and billing address to process procurements. The other Federal agency will pay its vendors and subsequently request reimbursement from FEMA for costs incurred under the MA. All goods and services ordered by GSA on FEMA's behalf will be billed to FEMA directly via OPAC, with reference to the associated disaster and obligation reference numbers.

9. The OFM/DFC will perform a financial review of the request for reimbursement and supporting documentation and forward to the Mission Assignment Coordinator (MAC) appointed for the particular disaster. The MAC will review the request for reimbursement with the designated Project Officer. Their comments will then be forwarded to the Federal Approving Official for final review and comment. All requests for reimbursement will be returned to the OFM/DFC with program signatures and comments. A chargeback will be initiated for disapproved OPAC costs and charges.

10. All MAs still open 1 year from the date of the disaster declaration will be reviewed by FEMA's financial and program staff. The FCO/DRM will determine if the MA is still valid and the best source for accomplishing the work. Agencies will be required to identify:

    a. MAs that should be closed and submit a final bill if necessary; or

    b. MAs that should remain open, with revised completion dates, a description of remaining work to be completed, and the required funding to complete the work.

11. The OFM/DFC will deobligate the remaining obligated fund balance within 1 year from the date of the disaster declaration when status is not provided by the ESFs or when the FCO/DRM determines that the MA is no longer required. If it is later determined that the need for an MA exists, a new MA will have to be requested and approved by the FCO/DRM.

12. All documents supporting reimbursements received from MAs will be retained for 6 years and 3 months after final payment, in accordance with National Archives and Records Administration financial records management guidelines.

G. Resolution of Reimbursement Disputes

1. A disputed request for reimbursement, whether a dispute between FEMA and an ESF primary agency or between an ESF and a support agency, will be forwarded to FEMA's CFO for resolution.
2. Agencies will send disputed bills for goods and services together with all applicable documents and reports to the OFM/DFC.
3. The OFM/DFC will prepare an administrative report and forward the disputed bill to the CFO. The CFO may request input from the program office before forwarding the request to the FEMA Office of General Counsel, or other independent office, for resolution.

VIII. Audits

The FEMA program office or Office of Financial Management may request FEMA's OIG to conduct an audit of mission assignments. FEMA's OIG will recommend audits of MAs to the OIGs of other Federal agencies and will be available to perform audits at their request. Audits will focus on MAs that present the greatest risk of fraud, waste, or abuse. Agencies should be able to provide supporting documentation verifying that billed expenses were actually incurred in performing the MA. Agencies also will maintain source documentation that adequately supports all charges billed to FEMA.

IX. Applicable Financial Management Reference Materials

Standard financial management policies and regulations are available in each Federal agency and should be used in responding to major disasters. General authorities and guidance on select financial operations include:

A. Federal Emergency Management Agency

The Stafford Act is the basic authority for presidentially declared major disasters and emergencies. Regulations guiding implementation of the Stafford Act are contained in 44 CFR 206.

B. General Accounting Office

The GAO Policies and Procedures Manual for Guidance of Federal Agencies is a codification of material previously issued as General Regulations, Accounting Systems Memorandums, Accounting Principles Memorandums, Circular Letters, Bulletins, and other regulations. The provisions of this manual are applicable to all Federal agencies.

C. Department of the Treasury

The Treasury Financial Manual for Guidance to Departments and Agencies (Treasury Financial Manual) is the official publication in which the Department of the Treasury issues codified instructions for the areas of Accounting Forms (Part 1); Central Accounting and Reporting (Part 2); Payroll Deductions, Withholdings (Part 3); Disbursing (Part 4); Deposits (Part 5); and Other Fiscal Matters (Part 6).

D. General Services Administration

1. The Federal Travel Regulations, published by GSA, are applicable to all Federal agencies for determining per diem rates and eligible travel expenses.
2. The Federal Property Management Regulations include the policies and guidelines relating to property management and the utilization and disposal of property in all executive agencies (41 CFR 101).
3. The Federal Acquisition Regulation (FAR) sets forth the requirements for procuring supplies and services from governmental, private, and nonprofit sources. The policies in the FAR are followed by all Federal agencies. Although each agency has its own internal supplement to the FAR, it cannot change the basic policies of the FAR (48 CFR) unless exempted by law.

E. Office of Management and Budget

OMB Circulars and Bulletins. Particular attention should be directed to requirements specified in Circular A-11, Preparation and Submission of Budget Estimates (Part 1); Circular A-34, Budget Execution; and Circular A-73, Audit of Federal Operations and Programs.

F. Other Federal Agencies

Federal agencies should use their respective financial manuals, directives, and instructions.

This page intentionally left blank.

Logistics Management Support Annex

Federal Logistics Partners:

Department of Agriculture
- Forest Service

Department of Defense
- U.S. Army Corps of Engineers

Department of the Interior
Department of Transportation
Federal Emergency Management Agency
General Services Administration
National Communications System

I. Introduction

A. Purpose

The purpose of this annex is to provide an overview of disaster logistics management activities and how the Federal Emergency Management Agency (FEMA) performs its logistics mission under the Federal Response Plan (FRP).

B. Scope

1. This annex:
   a. Identifies the components of the Federal disaster logistics delivery structure;
   b. Provides a concept of operations for logistics management in support of the FRP; and
   c. Outlines FEMA logistics management responsibilities and how they change as various Federal logistics providers become active during a major disaster.
2. For procedures used to execute various logistics functions, see related FEMA or other Federal agency publications (See section VI, References, below).
3. FEMA will utilize ESF #7 — Resource Support when activated or under the inter-agency agreements with the General Services Administration (GSA) to acquire medical, biohazard, or other specialized equipment, supplies, and services as required and appropriate.

C. Definition

1. Logistics management is the process of planning, preparing, implementing, and evaluating all logistics functions that support an operation or activity.

2. Effective logistics management ensures that all functions are executed in a unified manner in order to reduce costs, ensure appropriate support actions, and decrease delivery time. Individual logistics functions and associated subfunctions include:

   a. Materiel Management: requisitioning, ordering, and sourcing (requirements processing); acquisition; asset visibility (resource tracking); receipt; storage and handling; security; accountability; inventory; deployment; issue and distribution; recovery; reutilization; and disposition;

   b. Property Management (Personal Property): accountability, inventory, disposal, and record processing;

   c. Facility Management: facility selection and acquisition, building services, information systems, communications, fleet management, safety and health, and physical security; and

   d. Transportation Management: transportation prioritizing, ordering, sourcing, and acquisition; time-phasing plans; and movement coordination and tracking.

II. Policies

A. Logistics personnel find appropriate, time-sensitive, and cost-effective ways to fill the requirements developed by operations personnel.

B. All Federal departments and agencies acting within the scope of the Robert T. Stafford Disaster Relief and Emergency Assistance Act will account for personal property in accordance with the Federal Property Management Regulations (41 CFR 4) and existing agency property management policies. This will occur whether property is acquired from an agency's own stock, available Federal excess, or purchased with money from the Disaster Relief Fund (DRF).

C. Prior to initiating orders for personal property (through mission assignment or acquisition channels), stock previously acquired from the DRF must be the first source if it can be utilized in a timely and cost-effective manner.

D. Requests by Federal agencies to procure personal (vs. real) property in support of State tasking using the DRF will be passed to the Logistics Section of the Regional Operations Center (ROC), Emergency Response Team (ERT), or Emergency Support Team (EST) (during their respective activations); or the FEMA Headquarters, Operations Support Directorate, Logistics Division (when the ROC, ERT, or EST are not activated) for processing and sourcing. This will ensure that requests are not duplicated and procurements are made only when cost effective or time efficient.

E. If other Federal agency property is being used for response and recovery operations and this property is lost, damaged, stolen, or consumed, the agency will be reimbursed for the cost of such property if the required documentation is provided to FEMA. Required documentation is outlined in FEMA Manual 6150.1, Personal Property Management Program. The process for requesting reimbursement is detailed in the Financial Management Support Annex.

F. When agencies' property costs are reimbursed from the DRF, ownership of the property acquired during the execution of a mission assignment passes to FEMA.

G. FEMA will direct the disposition of all property that is owned by FEMA, including items held by organizations that intend to request reimbursement for the item from the Disaster Relief Fund. This could include transfer to FEMA, retention by the agency, donation to State-local government, or excess through GSA.

1. Information systems and communications devices purchased through the DRF will be retrieved and returned at the conclusion of each disaster operation to the FEMA Disaster Information Systems Clearinghouse (DISC). The DISC will rehabilitate and repackage items for reuse on other disaster operations.

2. Other equipment and supplies purchased with DRF money and issued to support responders and field facilities will be retrieved and returned at the conclusion of each disaster operation to one of the three FEMA Territory Logistics Centers (TLCs) serving the East, Central, and West FEMA territories. Returned items will be coordinated with the Agency Logistics Center (ALC) of the FEMA Headquarters Logistics Division. The TLC will rehabilitate and repackage equipment and supplies for reuse on other disasters as directed by the FEMA Headquarters Logistics Division. The exceptions are:

a. Equipment and supplies used by the Advance Element of the ERT that will be stored in the FEMA Regional Offices; and

b. Nonstandard TLC-stocked or non-mission capable items that will be excessed or disposed of at the disaster site.

H. Property procured with funds from the DRF may be used only in support of disaster response and recovery activities, not for day-to-day operations.

III. Situation

In order to accomplish a smooth transition to disaster operations, FEMA ensures a coordinated framework for Federal logistics management activities that includes logistics planning, preparedness, implementation, and evaluation in support of disaster operations.

A. Disaster Condition

1. The unpredictable nature of some disasters requires that Federal agencies be prepared at a moment's notice to provide needed services, equipment, and supplies. FEMA Headquarters Logistics Division maintains a base logistics capability that enables a rapid response to any disaster and is able to provide full logistics services to limited events without activating other Federal logistics partners; it can also provide immediate supplemental Federal support, as appropriate, in any disaster situation.

2. FEMA Logistics will:

a. Ensure agency readiness to deliver critical Initial Response Resources (IRR) and responder support goods;

b. Participate in early planning and execution of disaster operations before the activation of other Federal agencies; and

c. Assume open actions and closeout responsibilities from demobilizing Federal logistics partners.

B. Planning Assumptions

1. Federal logistics support will be provided principally in support of Federal operations initiated through proper requests by the affected State. However, Federal logistics support and assets may be requested by the State in the form of Federal technical assistance if the logistics assets and capabilities of the affected local communities and State are overwhelmed.

2. During disaster operations, the execution of most logistics actions will be conducted through Emergency Support Function (ESF) and other Federal operations, such as ESFs #1 — Transportation, #2 — Communications, and #7 — Resource Support and the Defense Coordinating Element.

3. FEMA's logistics management capability will be established prior to ESF activation to ensure that logistics activities are rapidly initiated and initial logistics services are provided until ESFs set up and begin operations. Once the ESFs and other Federal agencies are established, FEMA logistics actions will complement ESF operations by preparing and deploying FEMA-stored assets and handling the disposition of commodities at the end of the operation.

4. Policies and procedures for the Logistics Section of the ERT and EST will be standardized.

5. The operations element of the ROC, ERT, and EST will rapidly make initial decisions on mobilization center support requirements and the IRR required. They also will activate personnel and resources in a timely manner.

IV. Concept of Operations

A. Federal Disaster Logistics Delivery Structure

1. The delivery structure for Federal disaster logistics depends on logistics partners that combine resources to support disaster operations. Figure LM-1 depicts Federal disaster logistics organizations and the respective disaster organization that they support. Once a disaster event triggers the formation of disaster organizations, the day-to-day organizations listed in the first column of Figure LM-1 will staff and support the appropriate ROC, ERT, and EST subelements listed in the second column.

2. In addition to these organizations, there are numerous fixed facilities and corresponding staffs that support the deployment of personnel and goods. The FEMA Headquarters Logistics Division maintains the DISC, three TLCs, and Disaster Response Support Facilities (DRSFs), collocated with each Mobile Emergency Response Support (MERS) detachment. Each region also supports limited storage sites.

DAY-TO-DAY ORGANIZATION	DISASTER ORGANIZATION SUPPORTED
Other Federal Logistics Partners: Regional GSA NCS DOT USDA/FS DOD DOI DOD/USACE	• ROC Operations Section (corresponding ESF or staff function) • ERT-A/ERT Operations Section (corresponding ESF or staff function) (DFO) • Damage assessment capability
Other Federal Logistics Partners: Headquarters GSA NCS DOT USDA/FS DOD DOI DOD/USACE	• EST Operations Section (corresponding ESF or staff function)
FEMA Regions • Ops. Support Division Staff	• ROC Logistics Section • ERT-A/ERT Logistics Section (DFO) • Damage assessment capability

FEMA Headquarters:
• Logistics Division Staff
  • Logistics DAE Cadre
  • ALC
  • TLC Staff
  • DISC
  • Property Management Team (Accountable Property Officer and Property Management Officer)
  • Automated Info. Sys. Team
• Mobile Operations Division staff
  • MERS detachments/staff
  • MATTS
• Info. Tech. Systems Directorate
• Military Liaison Office
	• EST Logistics Section and Operations Section
	• ERT-A/ERT Logistics Section (DFO, Mob. Center) and Operations Section
	• Damage assessment capability

Figure LM-1 — Federal Disaster Logistics Delivery Components
( ) = Field Facility Location

B. Concept of Logistical Response Operations

The Federal disaster logistics community is brought together when an event, or the threat of an event, triggers the activation of response personnel. Logistics management is executed continuously. During the disaster operation, logistics managers should be the first involved and the last to leave the field.

Figure LM-2 illustrates the movement from a state of preparedness through a Disaster Operations Cycle to a return to a state of preparedness. It also shows how FEMA logistics activities change as other Federal logistics providers become involved as the response requires more assets and support than can be provided by internal FEMA assets and personnel alone.

1. Operational Readiness Phase: Transition into Active Disaster Logistics Management

   a. Logistics personnel focus primarily on preparing goods for deployment.

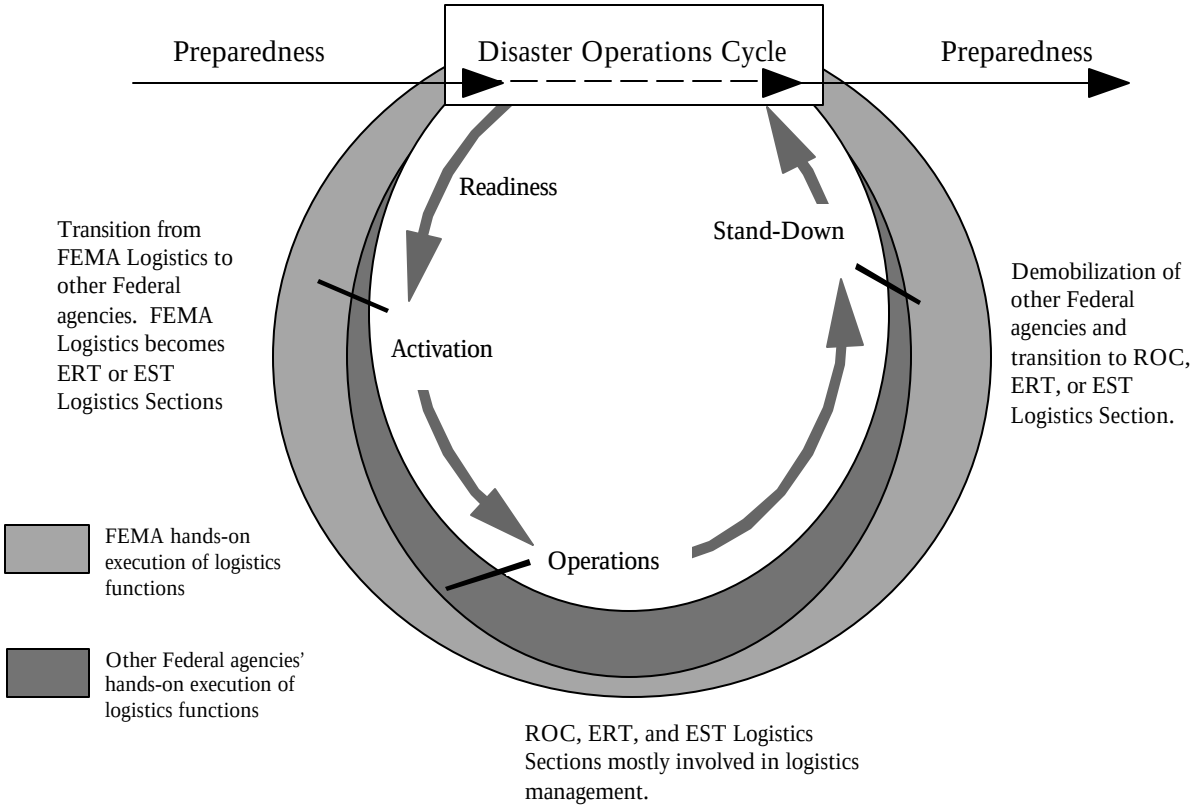


Figure LM-2 — Disaster Operations Cycle and Transition of Logistics Roles

b. Logistics personnel begin to transition from day-to-day operations into active disaster logistics management activities, such as tracking deployments and processing requests for assets. Federal agency logistics staff begin to:

(1) Anticipate initial requirements;

(2) Participate in decision-making meetings;

(3) Develop strategic logistics plans for consideration by the Operations Section Chief and other leadership; and

(4) Establish communications and coordination among Federal logistics partners to begin initial planning to transport goods and to locate mobilization centers.

c. The FEMA Headquarters Logistics Division generally performs readiness activities and prepares to transition into ERT and EST roles. FEMA logistics elements also may be executing activities typically covered by ESFs #1 or #7, since they do not have the authority to act until they receive an activation notice and start-up funding (which usually occurs during the next phase).

2. FRP Activation Phase: Federal Logistics Partners Transition to ESF Operations

   a. Logistics providers are formally activated. Operations personnel form requirements, and logistics staff deploys teams as well as IRR and responder support goods. The field infrastructure for receiving personnel and goods is being developed, with mobilization centers being established and property management personnel arriving.

   b. An interagency logistics team forms to ensure the rapid location, acquisition, and setup of key field facilities (including the DFO and mobilization centers); operation of the field Movement Coordination Center (MCC); and initiation of resource acquisition operations. At a minimum, this team would include representatives from the Department of Transportation (DOT), U.S. Army Corps of Engineers (USACE), GSA, Department of Agriculture/Forest Service (USDA/FS), and FEMA Logistics.

   c. As the core for the ROC, ERT, and EST operations support, logistics personnel perform the following functions:

      (1) Track the movement of assets;

      (2) Set up the Disaster Field Office (DFO) and other field facilities;

      (3) Support the deployment and receipt of response assets, including IRR items;

      (4) Coordinate deployments through the MCC to the mobilization centers;

      (5) Translate operations-generated requirements into specifications; and

      (6) Analyze requisitions to determine cost-effective and timely means to meet requirements.

   d. Except for managing and deploying FEMA-held assets, FEMA logistics elements transition all other hands-on execution activities, as required, to the other Federal logistics providers. FEMA regional and national logistics personnel then assume a broader logistics management role through the ROC, ERT, and EST Logistics Sections.

3. Operations Phase: Delivery of Assistance

   a. Activated Federal logistics providers have the ability, authority, and funding to execute tasks including:

      (1) DOT manages the acquisition of transportation as the primary agency for ESF #1, administers the MCC to track shipments and deploying teams, and furnishes Federal Aviation Administration and U.S. Coast Guard aircraft upon request.

      (2) After coordinating with internal Federal sources, GSA procures resources needed by the responders and victims, locates and rents field facilities (e.g., DFO, mobilization centers), and arranges contracts for transportation in support of ESF #1.

(3) USDA/FS establishes receiving and distribution operations at the mobilization centers and supports a FEMA property management team by executing property accountability on items stored at these locations.

(4) The Department of Defense (DOD) supports DOT and GSA as requested.

b. The ERT, ROC, and EST logistics activities focus on providing and coordinating delivery of required resources to sustain operations. (Materiel management, property management, facility management, and transportation management constitute the majority of all logistics operations.) FEMA's role in hands-on execution diminishes during this phase.

4. Stand-Down Phase: Transfer of Responsibilities to FEMA Logistics Division

a. As response operations begin to diminish, the Federal Coordinating Officer (FCO), ROC Director, and EST Director demobilize the other Federal agencies from their respective operations.

b. The ERT, ROC, and EST Logistics Sections assume the responsibility for and closeout of any logistics activities left unaccomplished by the other Federal agencies. (For example, as the FS demobilizes staff from the mobilization centers, the ERT and EST Logistics Sections work jointly to ensure that all assets are disposed of in the disaster area, or are retrieved, refurbished, and returned to one of FEMA's TLCs or other designated storage sites.)

c. The EST Logistics Section, the key link to the TLCs, remains active for several days following demobilization of the other Federal partners from the EST. It eventually transitions personnel and work to the FEMA Headquarters Logistics Division. Once this is accomplished, the FEMA Headquarters Logistics Division closes out disaster activities by:

(1) Coordinating with the ERT Logistics Section, Regional Operations Support Division Director, and TLC managers on the disposal or retrieval, refurbishment, and retrograde of FEMA assets;

(2) Maintaining proper property accountability processes; and

(3) Conducting internal after-action meetings while participating in ERT, ROC, and EST after-action meetings.

d. Logistics personnel revise documents, collect and file paperwork, and develop and assign tasks to improve activities for the next event. The FEMA Headquarters Logistics Division may meet with other Federal logistics providers to develop a corrective action plan to improve overall cost-effectiveness and efficiency.

V. Organization of the Logistics Section

The ERT Logistics Section and EST Logistics Section have been standardized in accordance with FEMA policy and guidance. Both structures emphasize support to disaster operations, including the setup and operation of disaster-specific facilities.

A. ERT Logistics Section

The ERT Logistics Section has overall responsibility for planning, organizing, and directing logistics operations. The organization, shown in Figure LM-3, comprises various Section-specific management and staff functions, as well as five branches — Coordination and Planning, Resource Management, Supply, Support Services, and Information Services.

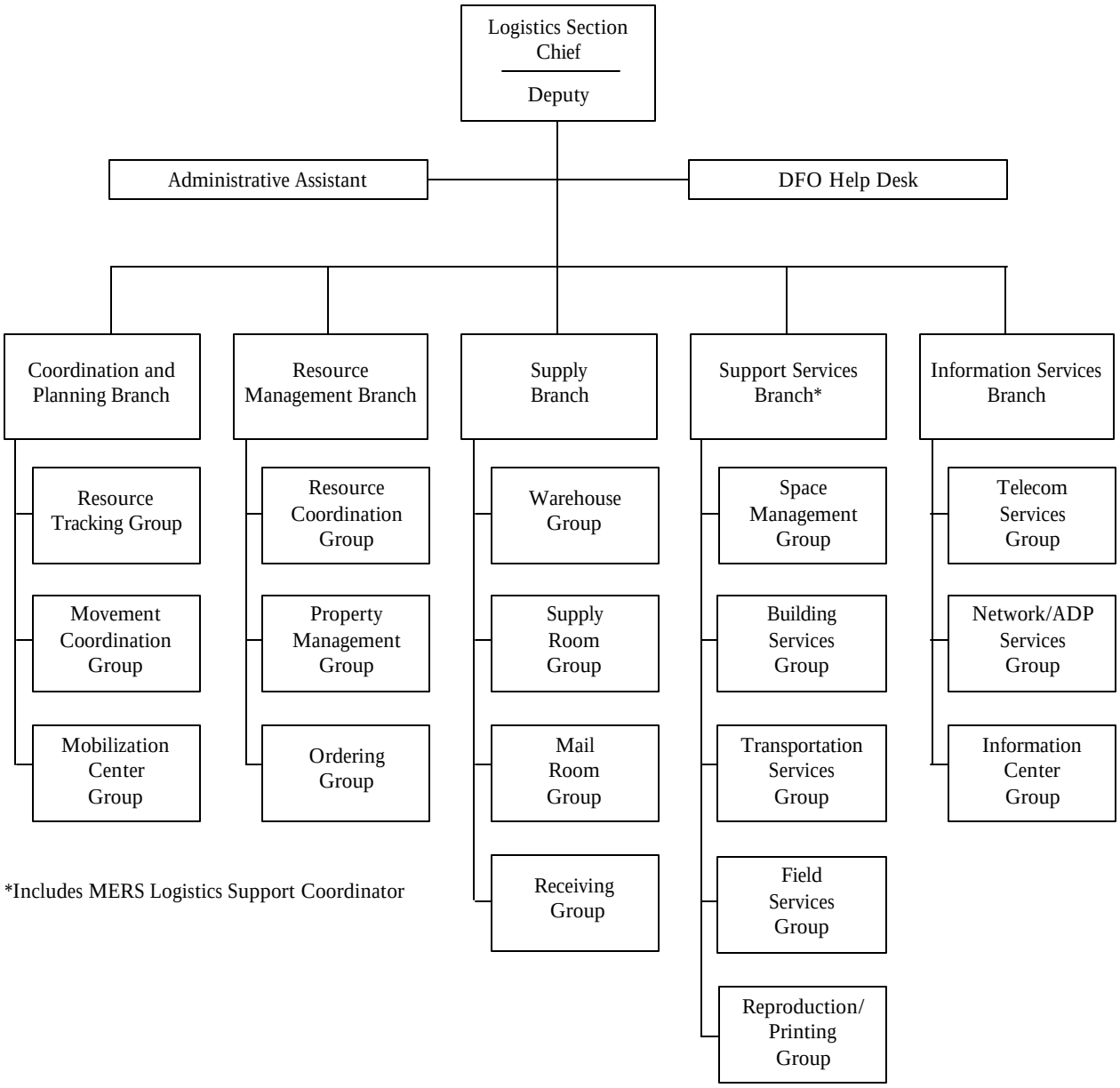


Figure LM-3 — Logistics Section of the Emergency Response Team Organization

B. EST Logistics Section

The EST Logistics Section plans, organizes, and supports logistics operations. The organization, shown in Figure LM-4, performs six principal activities:

1. Supports the mobilization, deployment, initial operations, retrieval, and storage of FEMA-owned national assets, including those dispatched as part of an initial response resources plan, until the ERT Logistics Section becomes fully operational;
2. Supports the mobilization, deployment, and retrograde of teams;
3. Supports the ERT Logistics Section;
4. Tracks deploying resources;
5. Aids in requisition processing, sourcing, ordering, and allocation as necessary; and
6. Coordinates information systems support to the EST.

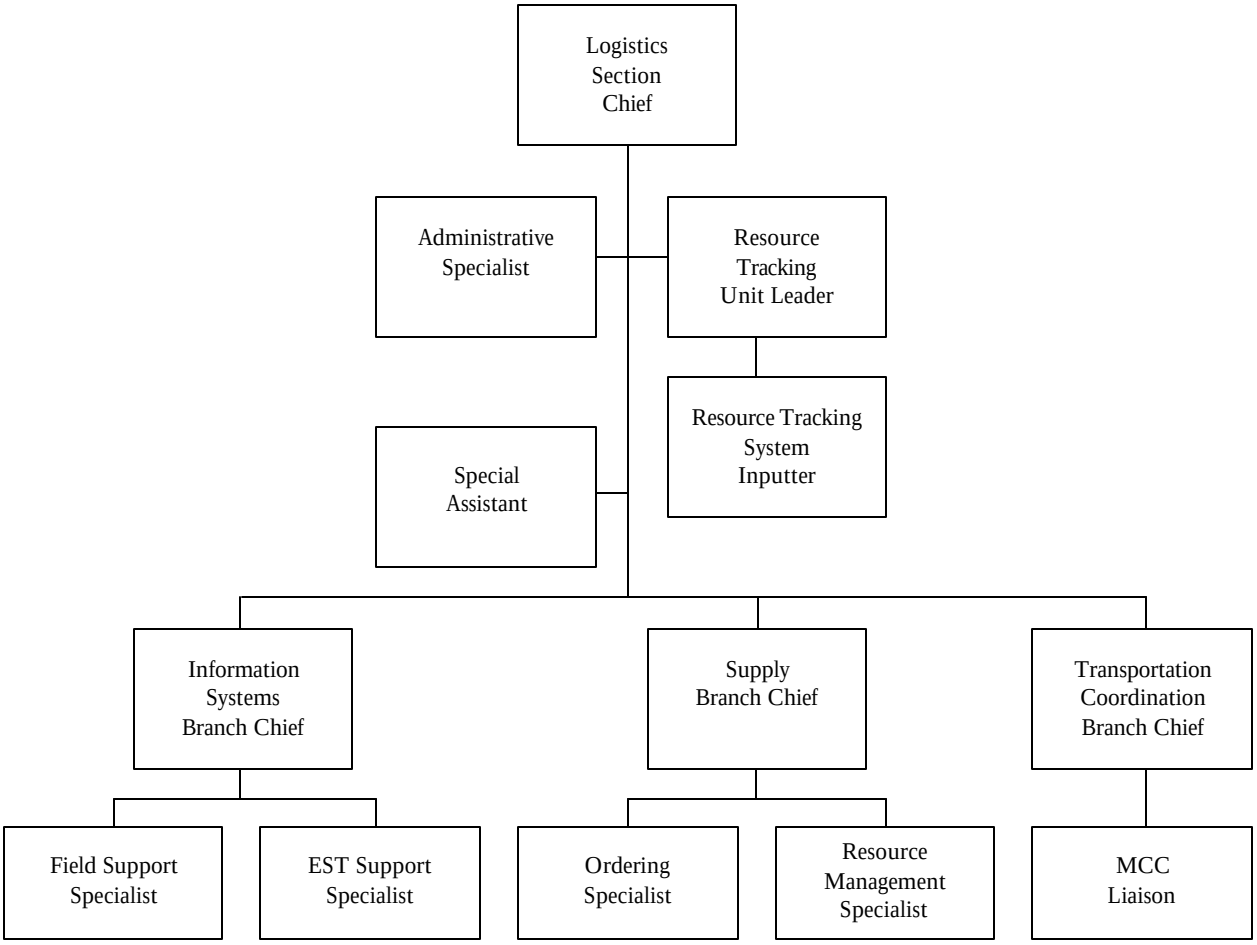


Figure LM-4 — Logistics Section of the Emergency Support Team Organization

VI. Responsibilities

Refer to FEMA publication 9380.1-PR, Logistics Management Operations Manual, for a detailed list of responsibilities.

VII. References

Additional information on FEMA's logistics management system may be found in a number of publications. The following include the most relevant:

A. Logistics Management Overview, FEMA Manual 9380.1-VW, December 1997 (draft).

B. Logistics Management Operations Manual, FEMA Manual 9380.1-PR, December 1997 (draft).

C. Personal Property Management Program, FEMA Manual 6150.1, July 1996.

D. DISC Operating Procedures, February 1996.

E. EST Logistics Section Operations and SOP Manual (unnumbered), July 1995 (under revision).

F. ERT Logistics Section Operations and SOP Manual (unnumbered), May 1994.

G. Motor Vehicle Management and Operations Manual, FEMA Manual 6250.2.

VIII. Terms and Definitions

A. Accountable Property

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

B. Agency Logistics Center (ALC)

An organization that provides centralized control, transportation, deployment, and accountability of all disaster support goods within the TLC network. The ALC was developed to enhance readiness and response, improve accountability of disaster assets, and reduce overall disaster costs.

C. Asset Visibility

Monitoring of the inventory levels of all goods that can be used for disaster operations that are in storage sites and of their movements to designated locations. Resource tracking is a subcomponent of asset visibility since it views only a subset of the overall inventory and tracks assets as they are applied to a specific disaster.

D. Assets

See Resources.

E. Disaster Information Systems Clearinghouse (DISC)

An organization that provides centralized control, deployment, and accountability of disaster information systems. The DISC is located at FEMA's Mount Weather Emergency Assistance Center in Bluemont, VA.

F. Disaster Response Support Facility (DRSF)

A storage facility located near each FEMA MERS detachment, which houses MERS vehicles and associated disaster support materiel.

G. Goods

Equipment and supplies.

H. Initial Response Resources (IRR)

Critical goods provided to victims and all levels of government responders immediately after a disaster occurs. IRR goods are used to augment State and local capabilities. FEMA's Logistics Division is responsible for storing and maintaining a limited quantity of critical IRR goods, initiating the acquisition of nonstocked items through Federal logistics partners, and pre-positioning equipment and supplies when required. IRR goods include equipment (e.g., emergency generators and refrigerated vans) and supplies (e.g., food, water, and personal hygiene items).

I. Logistics Information Management System (LIMS)

FEMA's official automated personal property management system.

J. Mobilization Center

The designated location at which response personnel and resources are received from the Point of Arrival and pre-positioned for deployment to a local staging area or directly to an incident site as required. A mobilization center also provides temporary support services, such as food and billeting, for response personnel prior to their deployment.

K. Personal Property

Any property other than real property, which includes land, buildings, and other structures owned or leased by the Federal Government. In this annex, personal property is used interchangeably with goods, equipment, and supplies.

L. Requirements Processing

Analysis of requests for goods or technical services, translating these requests into meaningful specifications, completing requisite paperwork (e.g., Request for Federal Assistance form or FEMA Form 40-1), and entering the request into the resource tracking system. Alternately known as the resource ordering process.

M. Resource Tracking

Monitoring the processing of requirements, source selection, movement, receipt, distribution, utilization, and recovery of goods, tactical teams, and technical service personnel for a specific operation. The resource tracking function is a subcomponent of FEMA's overall asset visibility system since it focuses only on the movement of a small group of items, teams, and personnel from the Federal Government's resources.

N. Resources

All personnel and major goods available, or potentially available, for assignment to operations. Resources are described by kind and type.

O. Territory Logistics Centers (TLCs)

FEMA's strategically located logistics centers that support disaster operations through a variety of preparedness and response measures. These centers serve as storage sites for strategic disaster supplies and equipment, including initial supplies of certain IRR goods and prepackaged kits to support disaster field facilities. Skilled logistics personnel may be supplied from these centers to support disaster operations. Three geographically dispersed TLCs are located at Fort Gillem, GA; Fort Worth, TX; and Moffett Field, CA.

This page intentionally left blank.

Occupational Safety and Health Support Annex

I. Introduction

A. Purpose

This annex provides guidelines to minimize the risk of injury or illness to federally deployed personnel who are involved in disaster response, recovery, or mitigation operations.

B. Scope

1. This annex applies to all personnel, regardless of agency affiliation, who are deployed to the field or any other location in response to or in anticipation of either a Federal disaster declaration or a Federal disaster exercise, whether on or off duty, and whether on or off federally controlled premises. For the purposes of this annex, "federally deployed personnel" means full-time and part-time Federal employees, Disaster Assistance Employees, reservists, local hires, and any other federally controlled personnel, whether staff, managers, or executives, who are working in response, recovery, or mitigation in support of a federally declared disaster or Federal disaster exercise. These personnel may be deployed at disaster sites, at interim staging points, or in support functions at headquarters (Emergency Support Team), regional offices (Regional Operations Centers), or other locations. In some cases, deployed personnel will include employees and volunteers with recognized voluntary organizations who have been deployed under the Federal Response Plan (FRP).

2. The goal of this annex is to ensure that deployed personnel work and reside in as safe and healthful an environment as possible. This annex:

   a. Provides a point of reference for identifying and addressing the safety and health hazards that may threaten personnel involved in disaster response, recovery, or mitigation, whether in an actual disaster or a disaster exercise;

   b. Delineates responsibilities for protecting personnel from these hazards and for providing prompt and effective remedial actions if and when a disaster-related illness or injury takes place;

   c. Develops and implements a standard reporting system to centrally document the occurrence of disaster-related illnesses and injuries; and

   d. Ensures that the signatory agencies of the FRP take all reasonable steps to protect deployed personnel from disaster-related hazards, including, but not limited to, compliance with safety and health standards established by the Occupational Safety and Health Administration (OSHA) and other regulatory bodies.

II. Policies

A. In accordance with applicable OSHA and other agency regulations, all signatory agencies to the FRP are responsible for protecting the safety and health of their personnel deployed to a disaster or disaster exercise. This includes, for example, allocating sufficient resources for safety and health protection, training staff, purchasing protective clothing and equipment as needed, and correcting unsafe or unsanitary conditions.

B. The Federal Emergency Management Agency (FEMA) will carry out safety and health activities applicable to a disaster or exercise to include the following:

1. Consistent with the Incident Command System (ICS) organizational structure, inclusion of a qualified Disaster Safety Officer (DSO) as a member of the Federal Coordinating Officer's (FCO's) Command Staff;

2. Identification and coordination of abatement of hazards that may be encountered at a disaster or exercise site;

3. Provision of basic safety and health training and information for all deployed personnel;

C. Tasked agencies will provide personal protective equipment (PPE) for all their staff needing such equipment. Agencies will ensure that these individuals are fitted and trained in the use of their PPE prior to using the equipment;

D. The DSO will implement a system to report, investigate, and recommend remediation for accidents, injuries, and illnesses related to the disaster or the exercise. This system should include centralized collection and maintenance of safety- and health-related documentation and records. Workers' compensation reports may contribute to the reporting system but should not be construed as sole fulfillment of this requirement; and

E. The DSO will provide written evaluations, after-action reports, and exit reports on the disaster safety and health activities. The DSO will include input from other agency safety personnel as appropriate.

III. Situation

A. Disaster Conditions

The requirement for rapid response to a disaster increases the risk that personnel may be deployed with inadequate information about the safety and health hazards that they may face. Initial hazard assessments may be revised after a more comprehensive assessment. Immediate access to survey instrumentation and proper personal protective equipment may be required to protect the safety and health of deployed personnel. Some of the safety and health problems that might be encountered in a disaster include the following:

1. Safety Problems: wet or uneven floors or carpets, broken walkways, or unlighted parking lots; sharp edges on equipment in crowded work areas; falling objects from unsecured or improperly stacked cabinets in office work areas; blocked fire doors or emergency escape routes; lack of emergency lighting; electrical cables strung across

floors or hanging from ceilings; unprotected or ungrounded electrical circuits; traffic safety issues such as driver fatigue, unfamiliar roads, or disaster-related road hazards; hazards relating to construction equipment and operations; hazards encountered by field inspectors in and around damaged or unsafe structures; and fire or other hazards created by poor housekeeping.

2. Health Problems: ergonomic issues related to lifting and carrying, seating, or video display terminals; repetitive motion injury from using power tools, computers, or other equipment; reactions to particulate matter, chemicals, radioactive materials, or microbial contaminants such as fungi from mildewed carpets; exposure to asbestos or other contaminants that cause delayed or long-term health effects; infectious diseases (including vector-borne illnesses) that may be aggravated by crowded work spaces, poor ventilation, or poor air quality; exposure to weather extremes without adequate protective gear or time to become acclimated to the conditions; damage to eyes, hearing, or respiratory system as a result of failure to wear protective goggles, earplugs, or breathing apparatus; fatigue, stress, or hypoglycemia from poor nutrition or inadequate rest breaks; and exposure to diseases indigenous to the disaster area.

B. Planning Assumptions

1. The FCO is responsible for protection of the health and safety of deployed personnel. The FCO is represented in this regard on a day-to-day basis by the DSO.

2. The DSO will coordinate occupational safety and health-related activities overall. As indicated in Emergency Support Function #8 — Health and Medical Services, the Centers for Disease Control and Prevention (CDC) of the Department of Health and Human Services (HHS) assists in monitoring emergency worker health and safety. The DSO will request mission assignments as needed for CDC, as well as for other agencies, such as OSHA.

3. All signatory agencies participating in disaster activity will:

   a. Ensure that their deployed staff observes all normal safety and health practices of their respective agencies;

   b. Provide safety staff, equipment, and training for specialized field responders such as firefighters, Urban Search and Rescue task forces, Disaster Medical Assistance Teams, etc.; and

   c. Cooperate with the DSO in implementing disaster occupational safety and health activities.

4. Commensurate with the length and nature of the disaster, participating agency safety officers will form an Interagency Health and Safety Coordinating Committee coordinated by the DSO to meet as required to enhance the overall safety and health of deployed personnel.

IV. Concept of Operations

For the purposes of this annex, emergency operations have been divided into three phases: (1) the readiness phase, during which a disaster declaration is considered imminent; (2) the operations phase, during which response actions are underway; and (3) the stand-down phase, during which operations are being significantly reduced and ultimately terminated.

A. Phase I: Readiness

1. Readiness phase activities will include:
   a. Collecting relevant information on the situation;
   b. Alerting required staff; and
   c. Deploying to, or near, the potential disaster location as appropriate.
2. Upon imminent or actual declaration of a disaster, a DSO will be designated, along with a roster of replacement DSOs to rotate throughout disaster operations if necessary.
3. The DSO, as part of the Advance Element of the Emergency Response Team (ERT-A), will inspect and approve field facilities prior to leasing to ensure compliance with all applicable safety, health, and fire criteria. In addition, the DSO will identify any other probable safety and health hazards that could be expected to be found on initiation of on-site disaster response operations. The DSO will establish liaison with safety and health personnel of CDC, OSHA, and other agencies as needed. No personnel should be deployed to the scene of an emergency that may involve a response to hazardous materials until the DSO has coordinated personal protective equipment with those agencies leading a response under another plan.
4. Prior to Federal deployment, the DSO will:
   a. Obtain information on probable disaster-related safety and health hazards;
   b. Provide procedures and coordinate the acquisition of equipment to mitigate the effects of the anticipated hazards to the greatest degree possible; and
   c. Ensure that all deployed personnel are informed about potential hazards and mitigation measures that may be employed.

B. Phase II: Operations

During operations, the DSO will:

1. Ensure that a safe and healthful working and living environment is maintained for staff during the disaster;
2. Establish a system for accomplishing required follow-up activity after the disaster;

3. Establish and maintain a visible safety and health presence at the disaster site and at all support sites, including mobilization centers, the Disaster Field Office warehouse, and Disaster Recovery Centers;
4. Integrate safety and health activity into the operating routine of the FCO command structure;
5. Identify, investigate, and coordinate abatement of safety and health problems;
6. Mobilize resources in fields such as radiological safety, industrial hygiene, safety engineering, and other specialties as needed;
7. Ensure that deployed personnel are aware of anticipated hazards, their potential impacts, and possible prevention or countermeasures;
8. Establish and maintain liaison among Federal, State, and local officials concerned with safety and health; and
9. Collect and review information for required reports.

C. Phase III: Stand-Down

1. The DSO, upon approval by the FEMA Designated Agency Safety and Health Official (DASHO), will ensure that the disaster safety operation has a smooth closeout or transition to a successor responsible authority by:
   a. Concluding DSO functions and activities;
   b. Providing follow-up information to deployed personnel; and
   c. Evaluating and documenting the effectiveness of the disaster safety and health effort:
      (1) Debrief deployed personnel on safety and health issues applicable to the disaster;
      (2) Produce a written evaluation of the safety and health initiative, including accomplishments, concerns and issues, lessons learned, and recommendations, for inclusion in the disaster after-action report;
      (3) Complete all required reports; and
      (4) Forward all safety and health documentation to the FEMA DASHO.
2. The FEMA DASHO will:
   a. Provide follow-up recommendations to the FEMA Director and, as required, to FRP signatory agencies; and
   b. Monitor follow-up actions.
3. The FCO will provide written safety and health recommendations for future FCOs to the DASHO and to the FEMA Associate Director for Response and Recovery.

V. Responsibilities

All signatory agencies, managers, and supervisors will, to the best of their ability, provide and maintain a safe and healthful workplace for all deployed personnel at all times and follow prescribed safety and health criteria. Following are the responsibilities of FRP signatory agencies in ensuring safety and health protection for disaster personnel:

A. Federal Emergency Management Agency

1. Establish disaster-specific safety and health guidance and policies for deployed personnel in cooperation with HHS, OSHA, and other agencies; and
2. Establish a Federal Interagency Occupational Safety and Health Committee comprised of safety staff of deploying agencies to monitor and coordinate disaster safety and health operations.

B. Department of Labor, Occupational Safety and Health Administration

Make available safety and health specialists to provide safety-specific assistance to affected disaster response agencies as required by the FCO. Requirements may include safety consultation and training programs, air contaminant sampling and analysis, and other safety services preparatory to, during, and/or following disaster operations under the FRP.

C. Department of Health and Human Services

Coordinate a wide range of clinical, medical, and health-specific assistance, as required by the FCO. Requirements may include the following:

1. Identify endemic or other potential disease-causing entities that may be present at the disaster site. Advise deployed personnel of the hazards and the appropriate countermeasures;
2. Provide health inspections of disaster workplaces as required;
3. Establish and staff emergency-care clinic facilities to be used by personnel on site. These clinics should be able to triage, treat, and arrange for transportation to off-site centers for severe medical emergencies;
4. Perform environmental surveillance to detect and counteract infectious diseases;
5. Inspect and ensure food safety;
6. Develop and issue disease alerts to personnel, as needed, before, during, and after the disaster;
7. Provide technical assistance to FEMA's Stress Management Program; and
8. Provide other health assistance and/or other services as specified by the FCO preparatory to, during, and/or following disaster operations under the FRP.

D. General Services Administration

Obtain and maintain suitable, safe, and healthful working facilities for deployed personnel. These facilities must meet all applicable safety, health, and fire criteria.

E. Other Signatory Agencies

Appoint representatives as needed to provide safety and health service oversight for requirements unique to their specific operations.

VI. References

A. FEMA Instruction 6900.5, FEMA Safety and Occupational Health Program Authorities and Responsibilities, January 30, 1996.

B. FEMA Manual 6900.3, FEMA Occupational Safety and Health Program Manual, March 1997.

VII. Terms and Definitions

A. After-Action Report

Following Federal response to a disaster under the FRP, FEMA will coordinate an after-action report documenting the Federal response effort. Each Federal agency involved in the response will keep records of its activity to assist in preparing the after-action report.

B. Designated Agency Safety and Health Official (DASHO)

The individual who is responsible for the management of the occupational safety and health program within an agency, and is so designated or appointed by the head of the agency. The DASHO is the agency's policy-level advocate for the safety and health of its personnel.

C. Disaster Safety Officer (DSO)

Appointed by the FEMA DASHO and represents the FEMA DASHO in all occupational safety and health matters within the context of the disaster or the exercise. Serves on the staff of, and reports to, the FCO, but also provides ongoing safety and health status reports to the FEMA DASHO.

This page intentionally left blank.

Public Affairs
Support Annex

I. Introduction

A. Purpose

This annex provides guidance on carrying out the public affairs function in support of the Federal Government's response to a major disaster or emergency.

B. Scope

The mission of public affairs is to contribute to the well-being of the community following a disaster by disseminating accurate, consistent, timely, and easy-to-understand information. Specific objectives are to:

1. Instill confidence that government will conduct response and recovery operations fast, effectively, and efficiently;
2. Provide critical information about how to apply for assistance and the location and status of life-sustaining shelters and resources; and
3. Provide authoritative information to deal with unsubstantiated rumors.

II. Policies

A. The Federal Emergency Management Agency (FEMA) is responsible for implementing Federal public affairs activities after a major disaster or emergency. FEMA will develop strategic plans and policies, provide liaison with the directors of public affairs for other Federal agencies and the White House press office, and determine the need for a Joint Information Center (JIC).

B. In a major disaster or emergency, a JIC will be established as a central point for coordination of emergency public information, public affairs activities, and media access to information about the latest developments. The JIC is a physical location where Public Affairs Officers (PAOs) from involved agencies come together to ensure the coordination and release of accurate and consistent information that is disseminated quickly to the media and the public.

   1. A JIC may be established at both FEMA Headquarters and/or near the scene of the disaster. Release of information between the two will be well coordinated to the maximum extent possible.

2. Only one primary Federal JIC will be in a major disaster area, preferably collocated with the Disaster Field Office (DFO), either in the same structure or an adjacent structure. This close proximity is designed to facilitate the JIC's access to sources of information about the disaster operation and enable leadership access to the JIC.

3. Headquarters and on-scene JICs may be established through the execution of other Federal emergency operations plans or under special procedures.

C. Before its release, Federal, State, and local disaster information will be coordinated to the maximum extent possible to ensure consistency and accuracy.

D. All Federal agencies may use their own mechanisms for releasing information. No editorial or policy control is exercised by the coordinating PAO over other agencies' release of information about their own policies, procedures, or programs.

E. State and local governments, as well as voluntary and private responding organizations, are encouraged to participate in and share the resources of the JIC. If collocating at the JIC is not feasible, all organizations are encouraged to conduct their information activities in cooperation with the JIC.

III. Situation

A. After a major disaster, normal means of communications in the affected area may be destroyed or severely disrupted; therefore, only limited and incomplete information may be expected from the area until communications can be restored.

B. The period immediately following a major disaster is critical in setting up the large and complex mechanism that will be needed to respond to the emergency public information and news requirements generated by the disaster.

IV. Concept of Operations

A. Organization

The primary organizational elements of a JIC may vary depending on the size of the disaster and the location of the JIC (headquarters or on scene). Generally, these elements include:

1. The chief spokesperson for FEMA in a headquarters JIC is the FEMA Director of Emergency Information and Media Affairs, or a designee, who fields inquiries from national news media. The chief spokesperson in an on-scene JIC is the lead PAO, who may be operating from a Regional Operations Center (ROC) until a JIC is set up in the disaster area. The lead PAO will consult with the FEMA Director of Emergency Information and Media Affairs to ensure a smooth transition to field operations.

2. Media Relations serves as the primary point of contact for the media for information regarding all disaster response, recovery, and mitigation programs provided by FEMA, the State, and other Federal, State, local, and voluntary agencies. This includes providing the media with accurate and timely information on disaster

operations, working with members of the media to encourage accurate and constructive news coverage, monitoring media coverage to ensure that critical messages are being reported, and identifying potential issues or problems that could have an impact on public confidence in the response and recovery effort.

3. Creative Services gathers information about response, recovery, and mitigation operations and develops and produces information for dissemination by the JIC to the print and broadcast media.

4. Multilingual Operations ensures that non-English-speaking populations receive accurate and timely information about disaster response, recovery, and mitigation programs through appropriate media and in their languages to the extent possible.

5. Special Projects plans and executes projects such as print and broadcast media public service campaigns, video documentation, surveys, special productions, and logistical support of public meetings and presentations.

B. Headquarters-Level Response Structure

1. The FEMA Director of Emergency Information and Media Affairs will:

   a. Serve as the White House liaison for all media activities in major disasters and emergencies;

   b. Coordinate public affairs policy, planning, and operations for disaster response in consultation with other agency public affairs directors;

   c. Represent FEMA on a headquarters interagency group, composed of the senior public affairs representatives from each JIC member agency, which comes together periodically to help guide the policies of the JIC and coordinate significant JIC activities; and

   d. Manage overall headquarters JIC operations and activities.

2. Federal information released after a disaster is coordinated by and disseminated from headquarters offices through the establishment of a JIC in Washington, DC, in consultation with the ROC media affairs team, until an on-scene JIC is operational in the disaster area. Depending on space requirements and availability, the headquarters JIC will be located at FEMA, with back-up locations available at nearby agencies.

3. Once the on-scene JIC is operational, it will assume primary responsibility for originating and coordinating Federal information released to the media and the public. The headquarters JIC will continue to operate as long as necessary as a satellite of the on-scene JIC, and will provide information services to media in the Washington, DC, area.

4. FEMA Headquarters will provide centralized services to support the JIC in the field. These services include production of the Recovery Times newsletter and daily updates for the media, FEMA Radio Network, national media monitoring and analysis, JIC reports, Internet services, and nationwide broadcast fax.

C. Regional-Level Response Structure

1. The on-scene lead PAO serves as the primary point of contact in the field, handling public information responsibilities in support of the Federal Coordinating Officer (FCO). The lead PAO also oversees hour-to-hour JIC operations (in a particularly large-scale disaster, a JIC Coordinator may assume responsibility for JIC operations).
2. The on-scene JIC should be located where members of the news media are likely to gather. If the DFO is at a remote site, a fully staffed satellite JIC should be established to work with the on-site media. Authority to release public information will remain at the primary JIC.
3. The primary functions of the on-scene JIC are to:
   a. Provide response and recovery information to individuals, families, and business and industry directly or indirectly affected by the disaster;
   b. Monitor news coverage to ensure that accurate information is being disseminated;
   c. Take action to correct misunderstandings, misinformation, and incorrect information concerning the disaster response, recovery, and mitigation operations that appear in the news media;
   d. Ensure that non-English-speaking populations receive accurate and timely information about disaster response, recovery, and mitigation operations through appropriate news media and, to the extent possible, in their languages;
   e. Use a broad range of resources to disseminate information to disaster victims and the general public, including the Recovery Times newsletter, FEMA Radio Network, FEMA Recovery Radio, Recovery Channel, broadcast fax, and the Internet, as well as traditional print and broadcast news media;
   f. Maintain contact with and gather information from Federal, State, local, and voluntary organizations taking part in disaster response operations;
   g. Handle appropriate special projects such as news conferences and press operations for disaster area tours by FEMA officials and others;
   h. Provide public affairs support and advice to the FCO and FCO staff; and
   i. Coordinate with the Logistics Section to provide basic facilities, such as communications, office space, and supplies, to assist the news media in disseminating information to the public. (These facilities are provided as long as the FCO determines their provision to be in the public interest.)

V. *Response Actions*

A. Initial Actions

On notification that a major disaster or emergency has occurred, the Director of Emergency Information and Media Affairs at FEMA Headquarters will:

1. Contact counterparts at other Federal agencies to determine whether there is to be unilateral response to news media or a coordinated response, with one agency serving to articulate the Federal response;
2. Determine the need for a JIC after consulting other Federal agencies;
3. Contact the regional PAO of the affected area (or some other regional official; or, failing to reach the region, contact the State PAO), to relay information on Federal interagency plans; and
4. Coordinate with the FCO and the Emergency Support Team in assigning a lead PAO to deploy to the disaster site and assume public information responsibilities at the JIC.

B. Continuing Actions

1. The Director of Emergency Information and Media Affairs will:
   a. Provide advice and support to the Catastrophic Disaster Response Group and keep it apprised of all public affairs actions;
   b. Serve as the focal point for all incoming information from the on-scene lead PAO and JIC; and
   c. Ensure that JIC procedures in the FEMA Emergency Information Field Guide are put into action.
2. The lead PAO will:
   a. Assume the on-scene lead PAO role on arrival at the disaster area. At that time the FEMA regional PAO will assume a key management position (either deputy or special assistant, as specified by the Public Affairs Emergency Response Team roster). A JIC Coordinator may assume responsibility for the hour-to-hour operations of the JIC;
   b. Represent the FCO (or FCO's deputy) with the media, public, and other agencies; and
   c. Serve as an advisor to the FCO and implement public affairs policies and procedures as established by the Director of Emergency Information and Media Affairs.
3. Each person representing a JIC member organization will function in two capacities:
   a. Represent the agency in carrying out its public affairs mission; and
   b. Provide public affairs services in support of the various JIC missions.

This page intentionally left blank.

Terrorism
Incident Annex

Signatory Agencies:

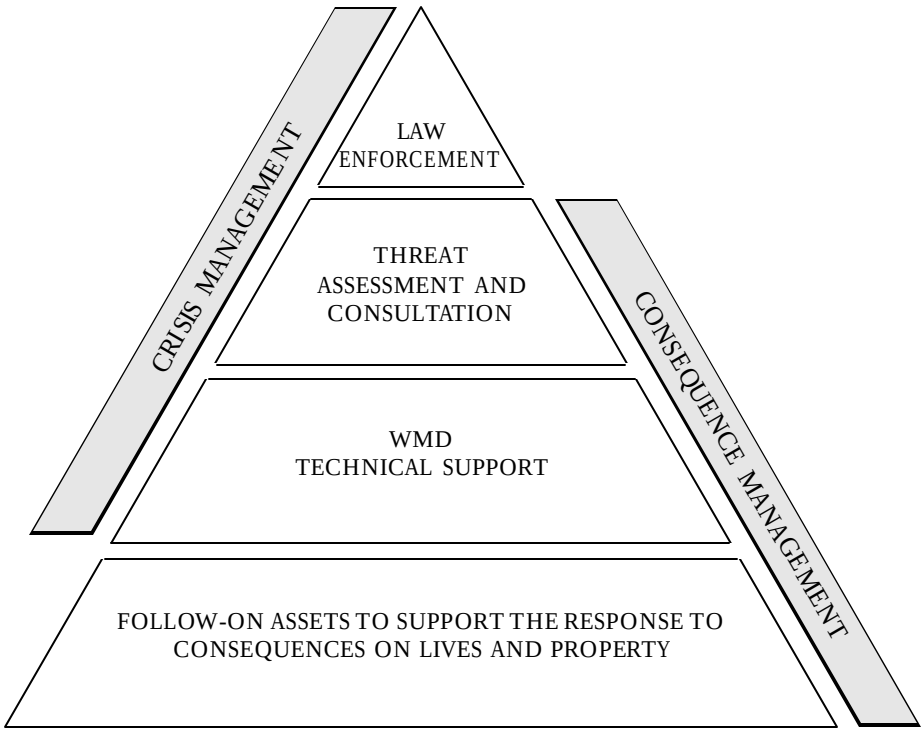
Department of Defense
Department of Energy
Department of Health and Human Services
Department of Justice
Federal Bureau of Investigation
Environmental Protection Agency
Federal Emergency Management Agency

I. Introduction

Presidential Decision Directive 39 (PDD-39), U.S. Policy on Counterterrorism, establishes policy to reduce the Nation's vulnerability to terrorism, deter and respond to terrorism, and strengthen capabilities to detect, prevent, defeat, and manage the consequences of terrorist use of weapons of mass destruction (WMD). PDD-39 states that the United States will have the ability to respond rapidly and decisively to terrorism directed against Americans wherever it occurs, arrest or defeat the perpetrators using all appropriate instruments against the sponsoring organizations and governments, and provide recovery relief to victims, as permitted by law.

Responding to terrorism involves instruments that provide crisis management and consequence management. "Crisis management" refers to measures to identify, acquire, and plan the use of resources needed to anticipate, prevent, and/or resolve a threat or act of terrorism. The Federal Government exercises primary authority to prevent, preempt, and terminate threats or acts of terrorism and to apprehend and prosecute the perpetrators; State and local governments provide assistance as required. Crisis management is predominantly a law enforcement response. "Consequence management" refers to measures to protect public health and safety, restore essential government services, and provide emergency relief to governments, businesses, and individuals affected by the consequences of terrorism. State and local governments exercise primary authority to respond to the consequences of terrorism; the Federal Government provides assistance as required. Consequence management is generally a multifunction response coordinated by emergency management.

Based on the situation, a Federal crisis management response may be supported by technical operations, and by Federal consequence management, which may operate concurrently (see Figure TI-1). "Technical operations" include actions to identify, assess, dismantle, transfer, dispose of, or decontaminate personnel and property exposed to explosive ordnance or WMD.



Source: HHS/FEMA

Figure TI-1 — Relationship Between Crisis Management and Consequence Management

A. Purpose

The purpose of this annex is to ensure that the Federal Response Plan (FRP) is adequate to respond to the consequences of terrorism within the United States, including terrorism involving WMD. This annex:

1. Describes crisis management. Guidance is provided in other Federal emergency operations plans;
2. Defines the policies and structures to coordinate crisis management with consequence management; and
3. Defines consequence management, which uses the FRP process and structure, supplemented as necessary by resources normally activated through other Federal emergency operations plans.

B. Scope

This annex:

1. Applies to all threats or acts of terrorism within the United States that the White House determines require a response under the FRP;

2. Applies to all Federal departments and agencies that may be directed to respond to the consequences of a threat or act of terrorism within the United States; and
3. Builds upon the process and structure of the FRP by addressing *unique* policies, situations, operating concepts, responsibilities, and funding guidelines required for response to the consequences of terrorism.

II. Policies

A. PDD-39 validates and reaffirms existing lead agency responsibilities for all facets of the U.S. counterterrorism effort.

B. The Department of Justice is designated as the lead agency for threats or acts of terrorism within U.S. territory. The Department of Justice assigns lead responsibility for operational response to the Federal Bureau of Investigation (FBI). Within that role, the FBI operates as the on-scene manager for the Federal Government. It is FBI policy that crisis management will involve only those Federal agencies requested by the FBI to provide expert guidance and/or assistance, as described in the PDD-39 Domestic Deployment Guidelines (classified) and the FBI WMD Incident Contingency Plan.

C. The Federal Emergency Management Agency (FEMA) is designated as the lead agency for consequence management within U.S. territory. FEMA retains authority and responsibility to act as the lead agency for consequence management throughout the Federal response. It is FEMA policy to use FRP structures to coordinate all Federal assistance to State and local governments for consequence management.

D. To ensure that there is one overall Lead Federal Agency (LFA), PDD-39 directs FEMA to support the Department of Justice (as delegated to the FBI) until the Attorney General transfers the overall LFA role to FEMA. FEMA supports the overall LFA as permitted by law.

III. Situation

A. Conditions

1. FBI assessment of a potential or credible threat of terrorism within the United States may cause the FBI to direct other members of the law enforcement community and to coordinate with other Federal agencies to implement a pre-release response.
   a. FBI requirements for assistance from other Federal agencies will be coordinated through the Attorney General and the President, with coordination of National Security Council (NSC) groups as warranted.
   b. FEMA will advise and assist the FBI and coordinate with the affected State and local emergency management authorities to identify potential consequence management requirements and with Federal consequence management agencies to increase readiness.

2. An act that occurs without warning and produces major consequences may cause FEMA to implement a post-release consequence management response under the FRP. FEMA will exercise its authorities and provide concurrent support to the FBI as appropriate to the specific incident.

B. Planning Assumptions

1. No single agency at the local, State, Federal, or private-sector level possesses the authority and expertise to act unilaterally on many difficult issues that may arise in response to a threat or act of terrorism, particularly if WMD are involved.
2. An act of terrorism, particularly an act directed against a large population center within the United States involving WMD, may produce major consequences that would overwhelm the capabilities of many local and State governments almost immediately.
3. Major consequences involving WMD may overwhelm existing Federal capabilities as well, particularly if multiple locations are affected.
4. Local, State, and Federal responders will define working perimeters that may overlap. Perimeters may be used to control access to the area, target public information messages, assign operational sectors among responding organizations, and assess potential effects on the population and the environment. Control of these perimeters may be enforced by different authorities, which will impede the overall response if adequate coordination is not established.
5. If appropriate personal protective equipment is not available, entry into a contaminated area (i.e., a hot zone) may be delayed until the material dissipates to levels that are safe for emergency response personnel. Responders should be prepared for secondary devices.
6. Operations may involve geographic areas in a single State or multiple States, involving responsible FBI Field Offices and Regional Offices as appropriate. The FBI and FEMA will establish coordination relationships as appropriate, based on the geographic areas involved.
7. Operations may involve geographic areas that spread across U.S. boundaries. The Department of State is responsible for coordination with foreign governments.

IV. Concept of Operations

A. Crisis Management

(Source: FBI, National Security Division, Domestic Terrorism/Counterterrorism Planning Section)

1. PDD-39 reaffirms the FBI's Federal lead responsibility for crisis management response to threats or acts of terrorism that take place within U.S. territory or in international waters and that do not involve the flag vessel of a foreign country. The FBI provides a graduated, flexible response to a range of incidents, including:
   a. A credible threat, which may be presented in verbal, written, intelligence-based, or other form;

b. An act of terrorism that exceeds the local FBI field division's capability to resolve;

c. The confirmed presence of an explosive device or WMD capable of causing a significant destructive event, prior to actual injury or property loss;

d. The detonation of an explosive device, utilization of a WMD, or other destructive event, with or without warning, that results in *limited* injury or death; and

e. The detonation of an explosive device, utilization of a WMD, or other destructive event, with or without warning, that results in *substantial* injury or death.

2. The FBI notifies FEMA and other Federal agencies providing direct support to the FBI of a credible threat of terrorism. The FBI initiates a threat assessment process that involves close coordination with Federal agencies with technical expertise, in order to determine the viability of the threat from a technical as well as tactical and behavioral standpoints.

3. The FBI provides initial notification to law enforcement authorities within the affected State of a threat or occurrence that the FBI confirms as an act of terrorism.

4. If warranted, the FBI implements an FBI response and simultaneously advises the Attorney General, who notifies the President and NSC groups as warranted, that a Federal crisis management response is required. If authorized, the FBI activates multiagency crisis management structures at FBI Headquarters, the responsible FBI Field Office, and the incident scene (see Figure TI-2). Federal agencies requested by

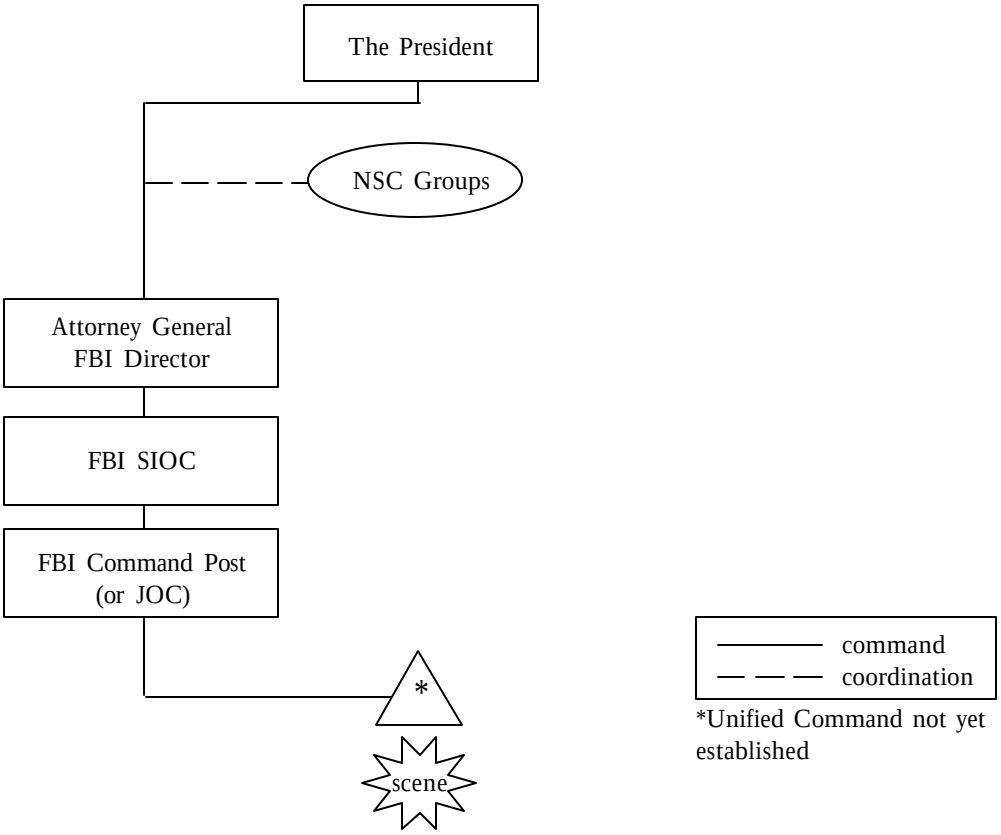


Figure TI-2 — Crisis Management Structures

the FBI, including FEMA, will deploy a representative(s) to the FBI Headquarters Strategic Information and Operations Center (SIOC) and take other actions as necessary and appropriate to support crisis management. (The FBI provides guidance on the crisis management response in the FBI WMD Incident Contingency Plan.)

5. If the threat involves WMD, the FBI Director may recommend to the Attorney General, who notifies the President and NSC groups as warranted, to deploy a Domestic Emergency Support Team (DEST). The mission of the DEST is to provide expert advice and assistance to the FBI On-Scene Commander (OSC) related to the capabilities of the DEST agencies and to coordinate follow-on response assets. When a Joint Operations Center (JOC) is formed, DEST components merge into the JOC structure as appropriate. (The FBI provides guidance on the DEST in the PDD-39 Domestic Deployment Guidelines (classified).)

6. During crisis management, the FBI coordinates closely with local law enforcement authorities to provide a successful law enforcement resolution to the incident. The FBI also coordinates with other Federal authorities, including FEMA.

7. The FBI Field Office responsible for the incident site modifies its Command Post to function as a JOC and establishes a Joint Information Center (JIC). The JOC structure includes the following standard groups: Command, Operations, Support, and Consequence Management. Representation within the JOC includes some Federal, State, and local agencies (see Figure TI-3).

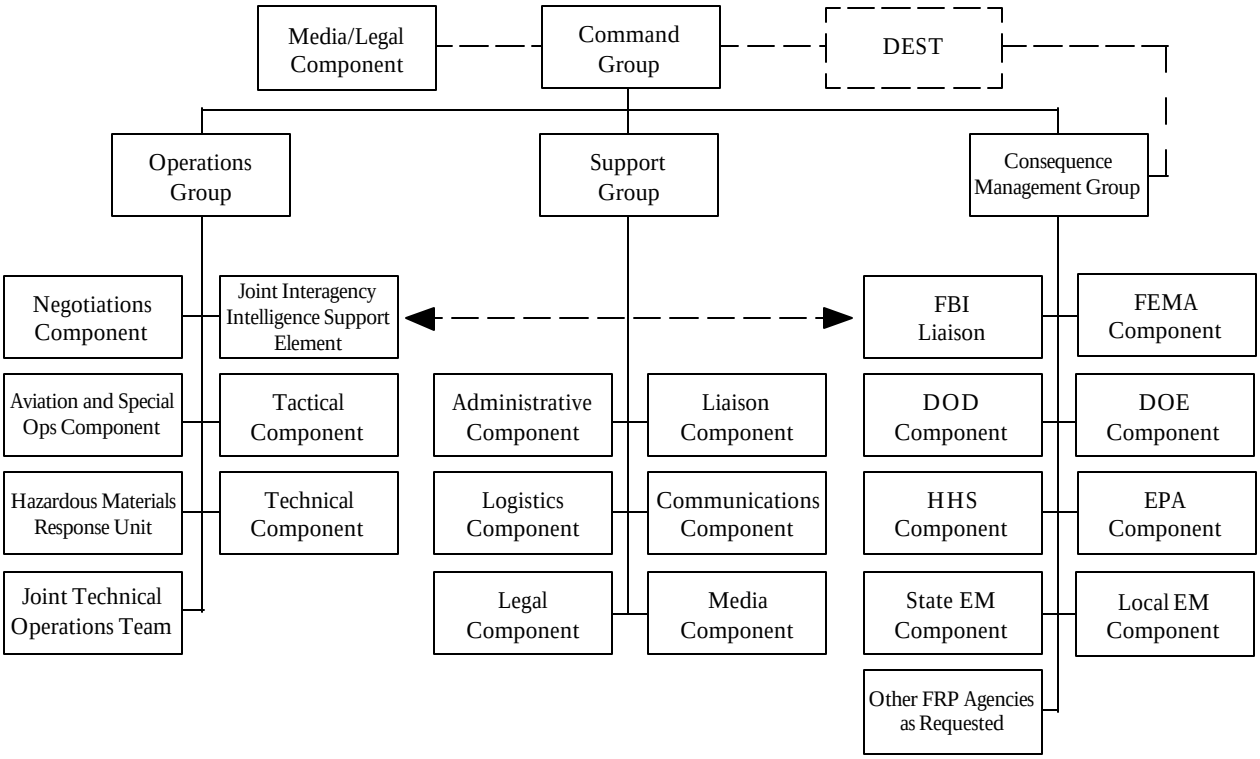


Figure TI-3 — FBI Joint Operations Center Structure

8. The JOC Command Group plays an important role in ensuring coordination of Federal crisis management and consequence management actions. Issues arising from the response that affect multiple agency authorities and responsibilities will be addressed by the FBI OSC and the other members of the JOC Command Group, who are all working in consultation with other local, State, and Federal representatives. While the FBI OSC retains authority to make Federal crisis management decisions at all times, operational decisions are made cooperatively to the greatest extent possible. The FBI OSC and the Senior FEMA Official at the JOC will provide, or obtain from higher authority, an immediate resolution of conflicts in priorities for allocation of critical Federal resources (such as airlift or technical operations assets) between the crisis management and the consequence management response.

9. A FEMA representative coordinates the actions of the JOC Consequence Management Group, expedites activation of a Federal consequence management response should it become necessary, and works with an FBI representative who serves as the liaison between the Consequence Management Group and the FBI OSC. The JOC Consequence Management Group monitors the crisis management response in order to advise on decisions that may have implications for consequence management, and to provide continuity should a Federal consequence management response become necessary. Coordination will also be achieved through the exchange of operational reports on the incident. Because reports prepared by the FBI are "law enforcement sensitive," FEMA representatives with access to the reports will review them, according to standard procedure, in order to identify and forward information to Emergency Support Function (ESF) #5 — Information and Planning that may affect operational priorities and action plans for consequence management.

B. Consequence Management

1. Pre-Release

a. FEMA receives initial notification from the FBI of a credible threat of terrorism. Based on the circumstances, FEMA Headquarters and the responsible FEMA region(s) may implement a standard procedure to alert involved FEMA officials and Federal agencies supporting consequence management.

b. FEMA deploys representatives with the DEST and deploys additional staff for the JOC, as required, in order to provide support to the FBI regarding consequence management. FEMA determines the appropriate agencies to staff the JOC Consequence Management Group and advises the FBI. With FBI concurrence, FEMA notifies consequence management agencies to request that they deploy representatives to the JOC. Representatives may be requested for the JOC Command Group, the JOC Consequence Management Group, and the JIC.

c. When warranted, FEMA will consult immediately with the Governor's office and the White House in order to determine if Federal assistance is required and if FEMA is permitted to use authorities of the Robert T. Stafford Disaster Relief and

Emergency Assistance Act to mission-assign Federal consequence management agencies to pre-deploy assets to lessen or avert the threat of a catastrophe. These actions will involve appropriate notification and coordination with the FBI, as the overall LFA.

d. FEMA Headquarters may activate an Emergency Support Team (EST) and may convene an executive-level meeting of the Catastrophic Disaster Response Group (CDRG). When FEMA activates the EST, FEMA will request FBI Headquarters to provide liaison. The responsible FEMA region(s) may activate a Regional Operations Center (ROC) and deploy a representative(s) to the affected State(s). When the responsible FEMA region(s) activates a ROC, the region(s) will notify the responsible FBI Field Office(s) to request a liaison.

2. Post-Release

a. If an incident involves a transition from joint (crisis/consequence) response to a threat of terrorism to joint response to an act of terrorism, then consequence management agencies providing advice and assistance at the JOC pre-release will reduce their presence at the JOC post-release as necessary to fulfill their consequence management responsibilities. The Senior FEMA Official and staff will remain at the JOC until the FBI and FEMA agree that liaison is no longer required.

b. If an incident occurs without warning that produces major consequences and appears to be caused by an act of terrorism, then FEMA and the FBI will initiate consequence management and crisis management actions concurrently. FEMA will consult immediately with the Governor's office and the White House to determine if Federal assistance is required and if FEMA is permitted to use the authorities of the Stafford Act to mission-assign Federal agencies to support a consequence management response. If the President directs FEMA to implement a Federal consequence management response, then FEMA will support the FBI as required and will lead a concurrent Federal consequence management response (see Figure TI-4).

c. The overall LFA (either the FBI or FEMA when the Attorney General transfers the overall LFA role to FEMA) will establish a Joint Information Center in the field, under the operational control of the overall LFA's Public Information Officer, as the focal point for the coordination and provision of information to the public and media concerning the Federal response to the emergency. Throughout the response, agencies will continue to coordinate incident-related information through the JIC. FEMA and the FBI will ensure that appropriate spokespersons provide information concerning the crisis management and consequenct management responses. Before a JIC is activated, public affairs offices of responding Federal agencies will coordinate the release of information through the FBI SIOC.

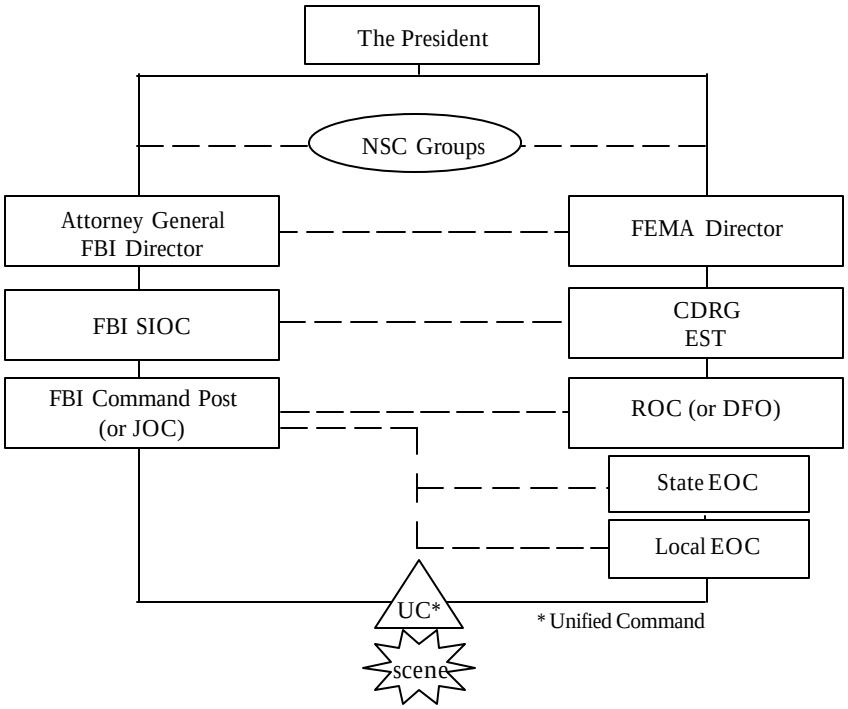


Figure TI-4 — Coordination Relationships

d. During the consequence management response, the FBI provides liaison to either the ROC Director or the Federal Coordinating Officer (FCO) in the field, and a liaison to the EST Director at FEMA Headquarters. While the ROC Director or FCO retains authority to make Federal consequence management decisions at all times, operational decisions are made cooperatively to the greatest extent possible.

e. As described previously, resolution of conflicts between the crisis management and consequence management responses will be provided by the Senior FEMA Official and the FBI OSC at the JOC or, as necessary, will be obtained from higher authority. Operational reports will continue to be exchanged. The FBI liaisons will remain at the EST and the ROC or DFO until FEMA and the FBI agree that a liaison is no longer required.

3. Disengagement

a. If an act of terrorism does not occur, the consequence management response disengages when the FEMA Director, in consultation with the FBI Director, directs FEMA Headquarters and the responsible region(s) to issue a cancellation notification by standard procedure to appropriate FEMA officials and FRP agencies. FRP agencies disengage according to standard procedure.

b. If an act of terrorism occurs that results in major consequences, each FRP component (the EST, CDRG, ROC, and DFO if necessary) disengages at the appropriate time according to standard procedure. Following FRP disengagement,

operations by individual Federal agencies or by multiple Federal agencies under other Federal plans may continue, in order to support the affected State and local governments with long-term hazard monitoring, environmental decontamination, and site restoration (cleanup).

V. Responsibilities

A. Department of Justice

PDD-39 validates and reaffirms existing lead agency responsibilities for all facets of the U.S. counterterrorism effort. The Department of Justice is designated as the overall LFA for threats of acts of terrorism that take place within the United States until the Attorney General transfers the overall LFA role to FEMA. The Department of Justice delegates this overall LFA role to the FBI for the operational response. On behalf of the Department of Justice, the FBI will:

1. Consult with and advise the White House, through the Attorney General, on policy matters concerning the overall response;
2. Designate and establish a JOC in the field;
3. Appoint an FBI OSC to manage and coordinate the Federal operational response (crisis management and consequence management). As necessary, the FBI OSC will convene and chair meetings of operational decision makers representing lead State and local crisis management agencies, FEMA, and lead State and local consequence management agencies in order to provide an initial assessment of the situation, develop an action plan, monitor and update operational priorities, and ensure that the overall response (crisis management and consequence management) is consistent with U.S. law and achieves the policy objectives outlined in PDD-39. The FBI and FEMA may involve supporting Federal agencies as necessary; and
4. Issue and track the status of actions assigned by the overall LFA.

B. Federal Bureau of Investigation

Under PDD-39, the FBI supports the overall LFA by operating as the lead agency for crisis management. The FBI will:

1. Determine when a threat of an act of terrorism warrants consultation with the White House, through the Attorney General;
2. Advise the White House, through the Attorney General, when the FBI requires assistance for a Federal crisis management response, in accordance with the PDD-39 Domestic Deployment Guidelines;
3. Work with FEMA to establish and operate a JIC in the field as the focal point for information to the public and the media concerning the Federal response to the emergency;
4. Establish the primary Federal operations centers for the crisis management response in the field and Washington, DC;

5. Appoint an FBI OSC (or subordinate official) to manage and coordinate the crisis management response. Within this role, the FBI OSC will convene meetings with operational decision makers representing Federal, State, and local law enforcement and technical support agencies, as appropriate, to formulate incident action plans, define priorities, review status, resolve conflicts, identify issues that require decisions from higher authorities, and evaluate the need for additional resources;
6. Issue and track the status of crisis management actions assigned by the FBI; and
7. Designate appropriate liaison and advisory personnel to support FEMA.

C. Federal Emergency Management Agency

Under PDD-39, FEMA supports the overall LFA by operating as the lead agency for consequence management until the overall LFA role is transferred to FEMA. FEMA will:

1. Determine when consequences are "imminent" for the purposes of the Stafford Act;
2. Consult with the Governor's office and the White House to determine if a Federal consequence management response is required and if FEMA is directed to use Stafford Act authorities. This process will involve appropriate notification and coordination with the FBI, as the overall LFA;
3. Work with the FBI to establish and operate a JIC in the field as the focal point for information to the public and the media concerning the Federal response to the emergency;
4. Establish the primary Federal operations centers for consequence management in the field and Washington, DC;
5. Appoint a ROC Director or FCO to manage and coordinate the Federal consequence management response in support of State and local governments. In coordination with the FBI, the ROC Director or FCO will convene meetings with decision makers of Federal, State, and local emergency management and technical support agencies, as appropriate, to formulate incident action plans, define priorities, review status, resolve conflicts, identify issues that require decisions from higher authorities, and evaluate the need for additional resources;
6. Issue and track the status of consequence management actions assigned by FEMA; and
7. Designate appropriate liaison and advisory personnel to support the FBI.

D. Federal Agencies Supporting Technical Operations

1. Department of Defense

As directed in PDD-39, the Department of Defense (DOD) will activate technical operations capabilities to support the Federal response to threats or acts of WMD terrorism. DOD will coordinate military operations within the United States with the appropriate civilian lead agency(ies) for technical operations.

2. Department of Energy

As directed in PDD-39, the Department of Energy (DOE) will activate technical operations capabilities to support the Federal response to threats or acts of WMD terrorism. In addition, the FBI has concluded formal agreements with potential LFAs of the Federal Radiological Emergency Response Plan (FRERP) that provide for interface, coordination, and technical assistance in support of the FBI's mission. If the FRERP is implemented concurrently with the FRP:

a. The Federal On-Scene Commander under the FRERP will coordinate the FRERP response with the FEMA official (either the ROC Director or the FCO), who is responsible under PDD-39 for coordination of all Federal support to State and local governments.

b. The FRERP response may include on-site management, radiological monitoring and assessment, development of Federal protective action recommendations, and provision of information on the radiological response to the public, the White House, Members of Congress, and foreign governments. The LFA of the FRERP will serve as the primary Federal source of information regarding on-site radiological conditions and off-site radiological effects.

c. The LFA of the FRERP will issue taskings that draw upon funding from the responding FRERP agencies.

3. Department of Health and Human Services

As directed in PDD-39, the Department of Health and Human Services (HHS) will activate technical operations capabilities to support the Federal response to threats or acts of WMD terrorism. HHS may coordinate with individual agencies identified in the HHS Health and Medical Services Support Plan for the Federal Response to Acts of Chemical/Biological (C/B) Terrorism, to use the structure, relationships, and capabilities described in the HHS plan to support response operations. If the HHS plan is implemented:

a. The HHS on-scene representative will coordinate, through the ESF #8 -– Health and Medical Services Leader, the HHS plan response with the FEMA official (either the ROC Director or the FCO), who is responsible under PDD-39 for on-scene coordination of all Federal support to State and local governments.

b. The HHS plan response may include threat assessment, consultation, agent identification, epidemiological investigation, hazard detection and reduction, decontamination, public health support, medical support, and pharmaceutical support operations.

c. HHS will issue taskings that draw upon funding from the responding HHS plan agencies.

4. Environmental Protection Agency

As directed in PDD-39, the Environmental Protection Agency (EPA) will activate technical operations capabilities to support the Federal response to acts of WMD terrorism. EPA may coordinate with individual agencies identified in the National Oil and Hazardous Substances Pollution Contingency Plan (NCP) to use the structure, relationships, and capabilities of the National Response System as described in the NCP to support response operations. If the NCP is implemented:

a. The Hazardous Materials On-Scene Coordinator under the NCP will coordinate, through the ESF #10 — Hazardous Materials Chair, the NCP response with the FEMA official (either the ROC Director or the FCO), who is responsible under PDD-39 for on-scene coordination of all Federal support to State and local governments.

b. The NCP response may include threat assessment, consultation, agent identification, hazard detection and reduction, environmental monitoring, decontamination, and long-term site restoration (environmental cleanup) operations.

VI. Funding Guidelines

A. As stated in PDD-39, Federal agencies directed to participate in the resolution of terrorist incidents or conduct of counterterrorist operations bear the costs of their own participation, unless otherwise directed by the President. This responsibility is subject to specific statutory authorization to provide support without reimbursement. In the absence of such specific authority, the Economy Act applies, and reimbursement cannot be waived.

B. FEMA can use limited pre-deployment authorities in advance of a Stafford Act declaration to “lessen or avert the threat of a catastrophe” only if the President expresses intention to go forward with a declaration. This authority is further interpreted by congressional intent, to the effect that the President must determine that assistance under existing Federal programs is inadequate to meet the crisis, before FEMA may directly intervene under the Stafford Act. The Stafford Act authorizes the President to issue “emergency” and “major disaster” declarations.

1. Emergency declarations may be issued in response to a Governor’s request, or in response to those rare emergencies, including some acts of terrorism, for which the Federal Government is assigned in the laws of the United States the exclusive or preeminent responsibility and authority to respond.

2. Major disaster declarations may be issued in response to a Governor’s request for any natural catastrophe or, regardless of cause, any fire, flood, or explosion that has caused damage of sufficient severity and magnitude, as determined by the President, to warrant major disaster assistance under the Act.

3. If a Stafford Act declaration is provided, funding for consequence management may continue to be allocated from responding agency operating budgets, the Disaster Relief Fund, and supplemental appropriations.

C. If the President directs FEMA to use Stafford Act authorities, FEMA will issue mission assignments through the FRP to support consequence management.

1. Mission assignments are reimbursable work orders, issued by FEMA to Federal agencies, directing completion of specific tasks. Although the Stafford Act states that "Federal agencies *may* [emphasis added] be reimbursed for expenditures under the Act" from the Disaster Relief Fund, it is FEMA policy to reimburse Federal agencies for eligible work performed under mission assignments.

2. Mission assignments issued to support consequence management will follow FEMA's Standard Operating Procedures for the Management of Mission Assignments or applicable superseding documentation.

D. FEMA provides the following funding guidance to the FRP agencies:

1. Commitments by individual agencies to take precautionary measures in anticipation of special events will not be reimbursed under the Stafford Act, unless mission-assigned by FEMA to support consequence management.

2. Stafford Act authorities do not pertain to law enforcement functions. Law enforcement or crisis management actions will not be mission-assigned for reimbursement under the Stafford Act.

VII. References

A. Presidential Decision Directive 39, U.S. Policy on Counterterrorism (classified). An unclassified extract may be obtained from FEMA.

B. PDD-39 Domestic Deployment Guidelines (classified).

C. PDD-62, Protection Against Unconventional Threats to the Homeland and Americans Overseas (classified).

D. FBI WMD Incident Contingency Plan.

E. HHS Health and Medical Services Support Plan for the Federal Response to Acts of Chemical/Biological Terrorism.

VIII. Terms and Definitions

A. Biological Agents

The FBI WMD Incident Contingency Plan defines biological agents as microorganisms or toxins from living organisms that have infectious or noninfectious properties that produce lethal or serious effects in plants and animals.

B. Chemical Agents

The FBI WMD Incident Contingency Plan defines chemical agents as solids, liquids, or gases that have chemical properties that produce lethal or serious effects in plants and animals.

C. Consequence Management

FEMA defines consequence management as measures to protect public health and safety, restore essential government services, and provide emergency relief to governments, businesses, and individuals affected by the consequences of terrorism.

D. Credible Threat

The FBI conducts an interagency threat assessment that indicates that the threat is credible and confirms the involvement of a WMD in the developing terrorist incident.

E. Crisis Management

The FBI defines crisis management as measures to identify, acquire, and plan the use of resources needed to anticipate, prevent, and/or resolve a threat or act of terrorism.

F. Domestic Emergency Support Team (DEST)

PDD-39 defines the DEST as a rapidly deployable interagency support team established to ensure that the full range of necessary expertise and capabilities are available to the on-scene coordinator. The FBI is responsible for the DEST in domestic incidents.

G. Lead Agency

The FBI defines lead agency, as used in PDD-39, as the Federal department or agency assigned lead responsibility to manage and coordinate a specific function — either crisis management or consequence management. Lead agencies are designated on the basis of their having the most authorities, resources, capabilities, or expertise relative to accomplishment of the specific function. Lead agencies support the overall Lead Federal Agency during all phases of the terrorism response.

H. Nuclear Weapons

The Effects of Nuclear Weapons (DOE, 1977) defines nuclear weapons as weapons that release nuclear energy in an explosive manner as the result of nuclear chain reactions involving fission and/or fusion of atomic nuclei.

I. Senior FEMA Official

The official appointed by the Director of FEMA or his representative to represent FEMA on the Command Group at the Joint Operations Center. The Senior FEMA Official is not the Federal Coordinating Officer.

J. Technical Operations

As used in this annex, technical operations include actions to identify, assess, dismantle, transfer, dispose of, or decontaminate personnel and property exposed to explosive ordnance or WMD.

K. Terrorist Incident

The FBI defines a terrorist incident as a violent act, or an act dangerous to human life, in violation of the criminal laws of the United States or of any State, to intimidate or coerce a government, the civilian population, or any segment thereof in furtherance of political or social objectives.

L. Weapon of Mass Destruction (WMD)

Title 18, U.S.C. 2332a, defines a weapon of mass destruction as (1) any destructive device as defined in section 921 of this title, [which reads] any explosive, incendiary, or poison gas, bomb, grenade, rocket having a propellant charge of more than four ounces, missile having an explosive or incendiary charge of more than one-quarter ounce, mine or device similar to the above; (2) poison gas; (3) any weapon involving a disease organism; or (4) any weapon that is designed to release radiation or radioactivity at a level dangerous to human life.

Appendix A
Terms and Definitions

Terms and definitions in the Federal Response Plan generally are consistent with current terminology used in the emergency management community. A number of these terms are defined below. Others are defined in the Basic Plan and individual annexes. Many of these terms are cross-referenced in this appendix.

Accountable Property. See Logistics Management Support Annex.
Action Plan. See ESF #5.
Aerial Port of Debarkation. See ESF #9 (military synonym for Point of Arrival).
Aerial Port of Embarkation. See ESF #9 (military synonym for Point of Departure).
After-Action Report. See Occupational Safety and Health Support Annex.
Agency Logistics Center (ALC). See Logistics Management Support Annex.
Assembly Point. A designated location for responders to meet, organize, and prepare their equipment prior to moving to the Point of Departure. Since emergency teams, organizations, and resources involved in a disaster or emergency can originate from a variety of geographic locations, each typically has its own Assembly Point.
Asset Visibility. See Logistics Management Support Annex.
Assets. See Logistics Management Support Annex.

Base Camp. The designated location under local or State control within the disaster area that is equipped and staffed to provide sleeping facilities, food, water, and sanitary services to response personnel.
Base Support Installation. See ESF #9.
Biological Agents. See Terrorism Incident Annex.

Catastrophic Disaster Response Group (CDRG). See Basic Plan, page 22.
Chemical Agents. See Terrorism Incident Annex.
Civil Air Patrol (CAP). See ESF #5.
Civil Transportation Capacity. See ESF #1.
Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA). See ESF #10.
Congressional Affairs Representative (CAR). See Congressional Affairs Support Annex.
Congressional Relations Officer (CRO). See Congressional Affairs Support Annex.
Consequence Management. See Terrorism Incident Annex.
Contingency Plan. See ESF #5.
Credible Threat. See Terrorism Incident Annex.
Crisis Management. See Terrorism Incident Annex.

Defense Coordinating Officer (DCO). See Basic Plan, page 15.

Designated Agency Safety and Health Official (DASHO). See Occupational Safety and Health Support Annex.

Designated Area. The geographic area designated under a Presidential major disaster declaration that is eligible to receive disaster assistance in accordance with the provisions of the Stafford Act.

Direct Federal Assistance. Is provided to the affected State and local jurisdictions when they lack the resources to provide specific types of disaster assistance either because of the specialized nature of the assistance, or because of resource shortfalls (e.g., providing debris removal, potable water, emergency medical services, and urban search and rescue).

Disaster Field Office (DFO). See Basic Plan, page 19.

Disaster Finance Center (DFC). See Financial Management Support Annex.

Disaster Information Systems Clearinghouse (DISC). See Logistics Management Support Annex.

Disaster Medical Assistance Team (DMAT). See ESFs #8 and #9.

Disaster Mortuary Team (DMORT). See ESF #8.

Disaster Recovery Center (DRC). See Basic Plan, page 22, and Recovery Function Annex.

Disaster Recovery Manager (DRM). See Basic Plan, page 8, and Financial Management Support Annex.

Disaster Response Support Facility (DRSF). See Logistics Management Support Annex.

Disaster Safety Officer (DSO). See Occupational Safety and Health Support Annex.

Disaster Transportation Management System (DTMS). See ESF #1.

District Response Group. See ESF #10.

Domestic Emergency Support Team (DEST). See Terrorism Incident Annex.

Donations Coordination Center. See Donations Management Support Annex.

Donations Coordination Team. See Donations Management Support Annex.

DOT Crisis Coordinator. See ESF #1.

Emergency Response Team (ERT). See Basic Plan, page 19.

Emergency Response Team — Advance Element (ERT-A). See Basic Plan, page 17.

Emergency Support Function (ESF). See Basic Plan, page 13.

Emergency Support Function Leaders Group (ESFLG). See Basic Plan, page 29.

Emergency Support Team (EST). See Basic Plan, page 22.

Emergency. As defined in the Stafford Act, an emergency is any occasion or instance for which, in the determination of the President, Federal assistance is needed to supplement State and local efforts and capabilities to save lives and to protect property, public health, and safety, and includes emergencies other than natural disasters.

Environmental Response Team. See ESF #10.

Essential Elements of Information (EEIs). See ESF #5.

Federal Coordinating Officer (FCO). See Basic Plan, page 8.

Federal Emergency Support Coordinator (FESC). See ESF #7.

Federal Operations Support. Is available to FEMA or other Federal responding agencies when they require logistical or technical support of their Federal operations — ESF activation, personnel for preparing damage survey reports, supplies, and equipment for DFO and DRC operations.

Federally Arranged Transportation Support. See ESF #1.

FEMA Voluntary Agency Liaison (VAL). See Donations Management Support Annex.
Fire Suppression Support Coordinator. See ESF #4.
Food and Nutrition Service (FNS) Disaster Task Force. See ESF #11.
Functional Plan. See ESF #5.

Goods. See Logistics Management Support Annex.
Governor's Authorized Representative (GAR). See Basic Plan, page 8.

Hazardous Materials. See ESF #10.
Hazardous Substances. See ESF #10.

Incident Command System (ICS). See Basic Plan, page 11, and ESF #4.
Incident Support Team (IST). See ESF #9.
Incident Support Team — Advance Element (IST-A). See ESF #9.
Information Coordination Unit (ICU). See ESF #5.
Initial Response Resources (IRR). See Basic Plan, page 7, and Logistics Management Support Annex.
In-Kind Donations. See Donations Management Support Annex.

Joint Information Center (JIC). See Basic Plan, page 25, and Public Information Annex.
Joint Operations Center (JOC). See Terrorism Incident Annex.

Lead Agency. See Terrorism Incident Annex.
Lead Federal Agency. See Basic Plan, page 11.
Logistics Information Management System (LIMS). See Logistics Management Support Annex.
Long-Range Management Plan. See ESF #5.

Major Disaster. As defined under the Stafford Act, any natural catastrophe (including any hurricane, tornado, storm, high water, wind-driven water, tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm, or drought), or, regardless of cause, any fire, flood, or explosion, in any part of the United States, which in the determination of the President causes damage of sufficient severity and magnitude to warrant major disaster assistance under this Act to supplement the efforts and available resources of States, local governments, and disaster relief organizations in alleviating the damage, loss, hardship, or suffering caused thereby.
Memorandum of Agreement (MOA). See ESF# 9.
Mitigation. Those activities designed to alleviate the effects of a major disaster or emergency or long-term activities to minimize the potentially adverse effects of future disaster in affected areas.
Mobilization Center. See ESF #9 and Logistics Management Support Annex.
Monitoring Period. See ESF #5.
Movement Coordination Center (MCC). See Basic Plan, page 24, and ESF #1.

National Disaster Medical System (NDMS). See ESF #8.
National Fire Suppression Liaison Officer. See ESF #4.
National Interagency Coordination Center (NICC). See ESF #4.
National Oil and Hazardous Substances Pollution Contingency Plan (NCP). See ESF #10.
National Processing Service Center (NPSC). See Recovery Function Annex.
National Response Center (NRC). See ESF #10.
National Response Team (NRT). See ESF #10.
National Security Council (NSC). See Terrorism Incident Annex.
National Strike Force. See ESF #10.
National Voluntary Organizations Active in Disaster (NVOAD). See Donations Management Support Annex.
Nuclear Weapons. See Terrorism Incident Annex.

On-Scene Coordinator (OSC). See ESF #10.
Operating Site. See ESF #9.
Operational Period. See ESF #5.

Personal Property. See Logistics Management Support Annex.
Point of Arrival (POA). The designated location (typically an airport) within or near the disaster-affected area where newly arriving staff, supplies, and equipment are initially directed. Upon arrival, personnel and other resources are dispatched to either the DFO, a mobilization center, a staging area, or directly to a disaster site. (See Aerial Port of Debarkation.)
Point of Departure (POD). The designated location (typically an airport) outside the disaster-affected area from which response personnel and resources will deploy to the disaster area. (See Aerial Port of Embarkation.)
Preliminary Damage Assessment (PDA). See Basic Plan, page 7.
Presidential Decision Directive 39 (PDD-39). See Terrorism Incident Annex.
Primary Agency. See Basic Plan, pages 13 and 28.

Radiological Emergency Response Team. See ESF #10.
Reconstruction Information Center (RIC). See Basic Plan, page 22, and Recovery Function Annex.
Recovery. Activities traditionally associated with providing Federal supplemental disaster relief assistance under a Presidential major disaster declaration. These activities usually begin within days after the event and continue after response activity ceases. Recovery includes individual and public assistance programs that provide temporary housing assistance, as well as grants and loans to eligible individuals and government entities to recover from the effects of a disaster.
Regional Emergency Coordinator (REC). See ESF #7.
Regional Emergency Transportation Coordinator (RETCO). See ESF #1.
Regional Operations Center (ROC). See Basic Plan, page 17.
Regional Response Teams (RRTs). See ESF #10.
Regional/Area Fire Coordinator. See ESF #4.
Requirements Processing. See Logistics Management Support Annex.

Resource Tracking. See Logistics Management Support Annex.
Resources. See Logistics Management Support Annex.
Response. Activities to address the immediate and short-term effects of an emergency or disaster. Response includes immediate actions to save lives, protect property, and meet basic human needs. Based on the requirements of the situation, response assistance will be provided to an affected State under the FRP using a partial activation of selected ESFs or the full activation of all ESFs to meet the needs of the situation.

Scientific Support Coordinator. See ESF #10.
Senior FEMA Official. See Terrorism Incident Annex.
Situation Assessment. See ESF #5.
Situation Report (SITREP). See ESF #5.
Situation Room. See ESF #5.
Staging Area. See ESF #9.
State Coordinating Officer (SCO). See Basic Plan, page 8.
Status Briefing. See ESF #5.
Strategic Information and Operations Center (SIOC). See Terrorism Incident Annex.
Strategic Plan. See ESF #5.
Supervisor of Salvage and Diving (SUPSALV). See ESF #10.
Support Agency. See Basic Plan, pages 13 and 28.
System to Locate Survivors (STOLS). See ESF # 9.

Technical Assistance. Is provided to State and local jurisdictions when they have the resources but lack the knowledge and skills needed to perform a required activity (such as mobile-home park design and hazardous material assessments).
Technical Operations. See Terrorism Incident Annex.
Territory Logistics Centers (TLCs). See Logistics Management Support Annex.
Terrorist Incident. See Terrorism Incident Annex.
Time-Phased Force and Deployment List (TPFDL). See Basic Plan, page 24, and ESF #1.

Unaffiliated Volunteer. See Donations Management Support Annex.
Undesignated Goods. See Donations Management Support Annex.
Unsolicited Goods. See Donations Management Support Annex.

Voluntary Organizations Active in Disaster (VOAD). See Donations Management Support Annex.

Weapon of Mass Destruction (WMD). See Terrorism Incident Annex.

This page intentionally left blank.

Appendix B
Acronyms and Abbreviations

AE ..... Aeromedical Evacuation
AEC ..... Agency Emergency Coordinator
AECC ..... Aeromedical Evacuation Control Center
AECE ..... Aeromedical Evacuation Control Element
AECM ..... Aeromedical Evacuation Crew Member
AELT ..... Aeromedical Evacuation Liaison Team
AID ..... Agency for International Development
ALC ..... Agency Logistics Center
AMC ..... Air Mobility Command
AMTA ..... Agricultural Marketing Transition Act
AOC ..... Army Operations Center
ARAC ..... Atmospheric Release Advisory Capability
ARC ..... American Red Cross
ASH ..... Assistant Secretary for Health
AWD ..... Available Without Declaration

B&I ..... Business and Industrial Loan Program

C/B ..... Chemical/Biological
CAP ..... Civil Air Patrol
CAR ..... Congressional Affairs Representative
CC ..... Coordination Center
CCP ..... Casualty Collection Point
CCP ..... Crisis Counseling Assistance and Training Program
CDBG ..... Community Development Block Grant
CDC ..... Centers for Disease Control and Prevention
CDRG ..... Catastrophic Disaster Response Group
CEPPO ..... Chemical Emergency Preparedness and Prevention Office
CERCLA ..... Comprehensive Environmental Response, Compensation, and Liability Act
CFO ..... Chief Financial Officer
CFR ..... Code of Federal Regulations
CINCLANT ..... Commander-in-Chief Atlantic
CINCPAC ..... Commander-in-Chief Pacific
CLO ..... Congressional Liaison Officer
CMC ..... Crisis Management Center
CNS ..... Corporation for National Service
CONUS ..... Continental United States
CPD ..... Community Planning and Development

CR ..... Community Relations
CRO ..... Congressional Relations Officer
CRP ..... Conservation Reserve Program
CWA ..... Clean Water Act

DAE ..... Disaster Assistance Employee
DALO ..... Disaster Area Liaison Officer
DASHO ..... Designated Agency Safety and Health Official
DCE ..... Defense Coordinating Element
DCLO ..... Deputy Congressional Liaison Officer
DCO ..... Defense Coordinating Officer
DEST ..... Domestic Emergency Support Team
DFC ..... Disaster Finance Center
DFCO-M ..... Deputy Federal Coordinating Officer for Mitigation
DFO ..... Disaster Field Office
DISC ..... Disaster Information Systems Clearinghouse
DLA ..... Defense Logistics Agency
DMAT ..... Disaster Medical Assistance Team
DMORT ..... Disaster Mortuary Team
DOC ..... Department of Commerce
DOD ..... Department of Defense
DOE ..... Department of Energy
DOEd ..... Department of Education
DOI ..... Department of the Interior
DOJ ..... Department of Justice
DOL ..... Department of Labor
DOMS ..... Director of Military Support
DOS ..... Department of State
DOS-A/DCP ..... Department of State, Office of Diplomatic Contingency Programs
DOT ..... Department of Transportation
DRC ..... Disaster Recovery Center
DRF ..... Disaster Relief Fund
DRM ..... Disaster Recovery Manager
DRSF ..... Disaster Response Support Facilities
DSO ..... Disaster Safety Officer
DTMS ..... Disaster Transportation Management System
DUA ..... Disaster Unemployment Assistance
DWI ..... Disaster Welfare Information

EC ..... Emergency Coordinator
ECS ..... Emergency Communications Staff
ECWAG ..... Emergency Community Water Assistance Grants
EDA ..... Economic Development Administration
EEI ..... Essential Element of Information

EICC ..... Emergency Information and Coordination Center
EIDL ..... Economic Injury Disaster Loans
EM ..... Emergency Management
EMRT ..... Emergency Medical Response Team
EMS ..... Emergency Medical Service
EMT ..... Emergency Management Team
EMWIN ..... Emergency Managers' Weather Information Network
E.O. ..... Executive Order
EOC ..... Emergency Operations Center
EPA ..... Environmental Protection Agency
EPLO ..... Emergency Preparedness Liaison Officer
ERL ..... Environmental Research Laboratories
ERT ..... Emergency Response Team
ERT ..... Environmental Response Team
ERT-A ..... Emergency Response Team — Advance Element
ERT-N ..... National Emergency Response Team
ESF ..... Emergency Support Function
ESFLG ..... Emergency Support Function Leaders Group
ESP ..... Electric Service Priority
EST ..... Emergency Support Team
EWP ..... Emergency Watershed Protection

FAO ..... Federal Approving Official
FAR ..... Federal Acquisition Regulation
FBI ..... Federal Bureau of Investigation
FCC ..... Federal Communications Commission
FCC ..... Federal Coordinating Center
FCO ..... Federal Coordinating Officer
FDIC ..... Federal Deposit Insurance Corporation
FECC ..... Federal Emergency Communications Coordinator
FEMA ..... Federal Emergency Management Agency
FESC ..... Federal Emergency Support Coordinator
FHWA ..... Federal Highway Administration
FNS ..... Food and Nutrition Service
FORSCOM ..... Forces Command
FRERP ..... Federal Radiological Emergency Response Plan
FRMAC ..... Federal Radiological Monitoring and Assessment Center
FRP ..... Federal Response Plan
FS ..... Forest Service
FSA ..... Farm Service Agency
FTS ..... Federal Telecommunications Service

GAO ..... Government Accounting Office
GAR ..... Governor's Authorized Representative
GIS ..... Geographic Information System

GPMRC ..... Global Patient Movement Requirements Center
GSA ..... General Services Administration

HHS ..... Department of Health and Human Services
HMGP ..... Hazard Mitigation Grant Program
HQ ..... Headquarters
HQAMC ..... Headquarters Air Mobility Command
HQUSACE ..... Headquarters U.S. Army Corps of Engineers
HQUSAF ..... Headquarters U.S. Air Force
HSO ..... Human Services Officer
HUD ..... Department of Housing and Urban Development

ICS ..... Incident Command System
ICU ..... Information Coordination Unit
IFG ..... Individual and Family Grant
IMA ..... Individual Mobilization Augmentee
IRR ..... Initial Response Resources
IRS ..... Internal Revenue Service
IRT ..... Initial Response Team
IST ..... Incident Support Team
IST-A ..... Incident Support Team — Advance Element

J-4/JCS ..... Medical Readiness Division, Office of the Joint Chiefs of Staff
JIC ..... Joint Information Center
JOC ..... Joint Operations Center
JPMT ..... Joint Patient Movement Team
JRMPO ..... Joint Regional Medical Planning Office
JTF ..... Joint Task Force
JTPA ..... Job Training Partnership Act
JTRB ..... Joint Telecommunications Resources Board

LFA ..... Lead Federal Agency
LIMS ..... Logistics Information Management System

MA ..... Mission Assignment
MAC ..... Mapping and Analysis Center
MAC ..... Mission Assignment Coordinator
MASF ..... Mobile Aeromedical Staging Facility
MATTS ..... Mobile Air Transportable Telecommunications System
MCC ..... Movement Coordination Center
MERRT ..... Medical Emergency Radiological Response Team
MERS ..... Mobile Emergency Response Support
MOA ..... Memorandum of Agreement

MOC ..... MERS Operations Center
MOU ..... Memorandum of Understanding
MREs ..... Meals-Ready-to-Eat
MSCA ..... Military Support to Civil Authority
MSU ..... Management Support Unit

NASA ..... National Aeronautics and Space Administration
NCC ..... National Coordinating Center
NCP ..... National Contingency Plan
NCS ..... National Communications System
NCS/DISA-GOSC ..... NCS/Defense Information Systems Agency-Global Operations Security Center
NCSRM ..... NCS Regional Manager
NDMS ..... National Disaster Medical System
NECC ..... National Emergency Coordination Center
NEPA ..... National Environmental Policy Act
NFIP ..... National Flood Insurance Program
NGB ..... National Guard Bureau
NICC ..... National Interagency Coordination Center
NIFC ..... National Interagency Fire Center
NIMA ..... National Imagery and Mapping Agency
NIST ..... National Institute of Standards and Technology
NOAA ..... National Oceanic and Atmospheric Administration
NOS ..... National Ocean Service
N/P ..... Not Provided
NPSC ..... National Processing Service Center
NRC ..... National Response Center
NRC ..... Nuclear Regulatory Commission
NRCS ..... Natural Resources Conservation Service
NRS ..... National Oil and Hazardous Substances Response System
NRT ..... National Response Team
NS/EP ..... National Security/Emergency Preparedness
NSC ..... National Security Council
NSF ..... National Strike Force
NTSP ..... National Telecommunications Support Plan
NVOAD ..... National Voluntary Organizations Active in Disaster
NWR ..... National Oceanic and Atmospheric Administration Weather Radio
NWS ..... National Weather Service

OC ..... Operations Center
OCHAMPUS ..... Office of Civilian Health and Medical Program of the Uniformed Services
OCONUS ..... Outside the Continental United States
OEP ..... Office of Emergency Preparedness
OET ..... Office of Emergency Transportation
OFM ..... Office of Financial Management

OIG ..... Office of Inspector General
OMB ..... Office of Management and Budget
OPA ..... Oil Pollution Act
OPAC ..... On-Line Payment and Collection System
OPHS ..... Office of Public Health and Science
OPM ..... Office of Personnel Management
OSC ..... On-Scene Commander
OSC ..... On-Scene Coordinator
OSC ..... Operations Support Center
OSHA ..... Occupational Safety and Health Administration
OSTP ..... Office of Science and Technology Policy

PAO ..... Public Affairs Officer
PBS ..... Public Buildings Service
PD ..... Presidential Declaration
PDA ..... Preliminary Damage Assessment
PDASH ..... Principal Deputy Assistant Secretary for Health
PDD ..... Presidential Decision Directive
PMS ..... Payments Management System
PNP ..... Private Nonprofit
POA ..... Point of Arrival
POC ..... Point of Contact
POD ..... Point of Departure
PPE ..... Personal Protective Equipment
PRA ..... Patient Reporting Activity

RAP ..... Radiological Assistance Program
RC&D ..... Resource Conservation and Development
RCP ..... Region Oil and Hazardous Pollution Contingency Plan
RD ..... Regional Director
REAC/TS ..... Radiation Emergency Assistance Center/Training Site
REC ..... Regional Emergency Coordinator
RECP ..... Regional Emergency Services Communications Planner
REP ..... Regional Evacuation Point
REPLO ..... Regional Emergency Preparedness Liaison Officer
RERT ..... Radiological Emergency Response Team
RETCO ..... Regional Emergency Transportation Coordinator
RFA ..... Request for Federal Assistance
RHA ..... Regional Health Administrator
RHS ..... Rural Housing Service
RIC ..... Reconstruction Information Center
RISC ..... Regional Interagency Steering Committee
RMA ..... Risk Management Agency
ROC ..... Regional Operations Center

RR ..... Response and Recovery
RRIS ..... Rapid Response Information System
RRT ..... Regional Response Team
RSPA ..... Research and Special Programs Administration
RTF ..... Response Task Force
RUS ..... Rural Utilities Service

SA ..... Supplemental Appropriation
SARA ..... Superfund Amendments and Reauthorization Act
SBA ..... Small Business Administration
SCO ..... State Coordinating Officer
SIOC ..... Strategic Information and Operations Center
SITREP ..... Situation Report
SOP ..... Standard Operating Procedure
SSA ..... Social Security Administration
SSC ..... Scientific Support Coordinator
STOLS ..... System to Locate Survivors
SUPSALV ..... Supervisor of Salvage and Diving

TAES ..... Tactical Aeromedical Evacuation System
TIMACS ..... Telecommunications Information Management and Control System
TLC ..... Territory Logistics Center
TPFDD ..... Time-Phased Force and Deployment Data
TPFDL ..... Time-Phased Force and Deployment List
TREAS ..... Department of the Treasury
TSP ..... Telecommunications Service Priority
TVA ..... Tennessee Valley Authority

UC ..... Unified Command
U.S. ..... United States
U.S.C. ..... U.S. Code
US&R ..... Urban Search and Rescue
USACE ..... U.S. Army Corps of Engineers
USACOM ..... U.S. Atlantic Command
USCG ..... U.S. Coast Guard
USDA ..... U.S. Department of Agriculture
USPACOM ..... U.S. Pacific Command
USPS ..... U.S. Postal Service
USSOUTHCOM ..... U.S. Southern Command
USTRANSCOM ..... U.S. Transportation Command

VA ..... Department of Veterans Affairs
VAL ..... Voluntary Agency Liaison

VIP ..... Very Important Person
VISTA ..... Volunteers in Service to America
VOAD ..... Voluntary Organizations Active in Disaster
VOLAG ..... Voluntary Agency

WMD ..... Weapon of Mass Destruction

Appendix C
FRP Changes and Revision

Like all emergency plans, the Federal Response Plan (FRP) is a dynamic document, constantly being refined and updated to reflect lessons learned from actual disaster experience. This appendix establishes procedures for changing and revising the FRP.

Types of Changes. Changes include additions of new or supplementary material and deletions. No proposed change should contravene authorities or other plans now contained in statute or regulation.

Format for Changes. To facilitate review and coordination of proposed changes, use the original text and show new material (additions) by shading or redlining; show deletions by strikeouts.

Coordination and Approval. Any signatory agency may propose and develop a change to the FRP. The agency proposing the change has the responsibility to coordinate it among the primary and support agencies of each affected Emergency Support Function and any associated agency program areas as required. The proposing agency then must:

- Obtain the official written approval for the change from the appropriate senior officials of the affected agencies;
- Provide the final change to the Federal Emergency Management Agency (FEMA), Response and Recovery (RR) Directorate, Planning and Coordination Branch, Attention: Branch Chief, Room 600, Washington, DC 20472 (fax: (202) 646-2901) for tracking, review, and official issuance.

Notice of Change. After coordination has been accomplished, including receipt of the necessary signed approval supporting the final change language, FEMA will issue an official Notice of Change signed by the FEMA Associate Director, RR.

- The Notice will specify the date, number, subject, purpose, supersession, background, and action required, and provide the change language on one or more numbered and dated insert pages that will replace the previous pages in the FRP. (Record changes to the FRP on the page provided at the front of the document.)
- Once published, the changes will be considered part of the FRP for operational purposes pending a formal revision and reissuance of the entire document.
- Interim changes can be further modified or updated using the above process.

Distribution. FEMA will distribute each Notice of Change to all signatory agencies, FEMA Headquarters and Regional Offices, and State emergency management offices. Notices of Change to other organizations will be provided upon request.

Reissuance of the FRP. FEMA is responsible for coordinating periodic reviews and revisions of the FRP. It will distribute a revised FRP for concurrence and request the signature of the head or a designated senior official of each participating agency.

Additional Copies. Obtain additional copies of Notices of Change from the FEMA Distribution Center at 1(800) 480-2520.

Appendix D
Overview of a Disaster Operation

See next page.

This overview illustrates response and recovery actions Federal agencies likely will take to help State and local governments that are overwhelmed by a major disaster or emergency. Key operational components that could be activated include the Regional Operations Center (ROC), Emergency Response Team — Advance Element (ERT-A), National Emergency Response Team (ERT-N), Emergency Support Team (EST), Emergency Response Team (ERT), Disaster Field Office (DFO), Catastrophic Disaster Response Group (CDRG), and Disaster Recovery Center (DRC).

1. FEMA's National Emergency Coordination Center continually monitors potential disasters and emergencies. When advance warning is possible, FEMA may deploy, and may direct Federal agencies to deploy liaison officers and personnel to a State Emergency Operations Center to assess the emerging situation. A ROC 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 request State assistance if needed. The State reviews the situation, mobilizes State resources, and informs the 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 FEMA 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 ROC, 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, FEMA may deploy an ERT-N.)

4. An interagency EST, composed of Emergency Support Function (ESF) representatives and FEMA support staff, carries out initial activation and mission assignment operations and supports the ROC from FEMA Headquarters.

5. A Federal Coordinating Officer (FCO), appointed by the FEMA Director on behalf of the President, coordinates Federal activities. The FCO works with the State Coordinating Officer to identify requirements.

6. The FCO heads the interagency ERT. The ERT works with the affected State and conducts field operations from the DFO. ESF primary agencies assess the situation and identify requirements. Under FEMA mission assignments or their own authorities, agencies supply goods and services to help the State respond effectively.

7. The CDRG, composed of representatives from FRP signatory agencies, convenes at FEMA Headquarters when needed to provide guidance and policy direction on coordination and operational issues. The EST supports the CDRG and coordinates with the ERT.

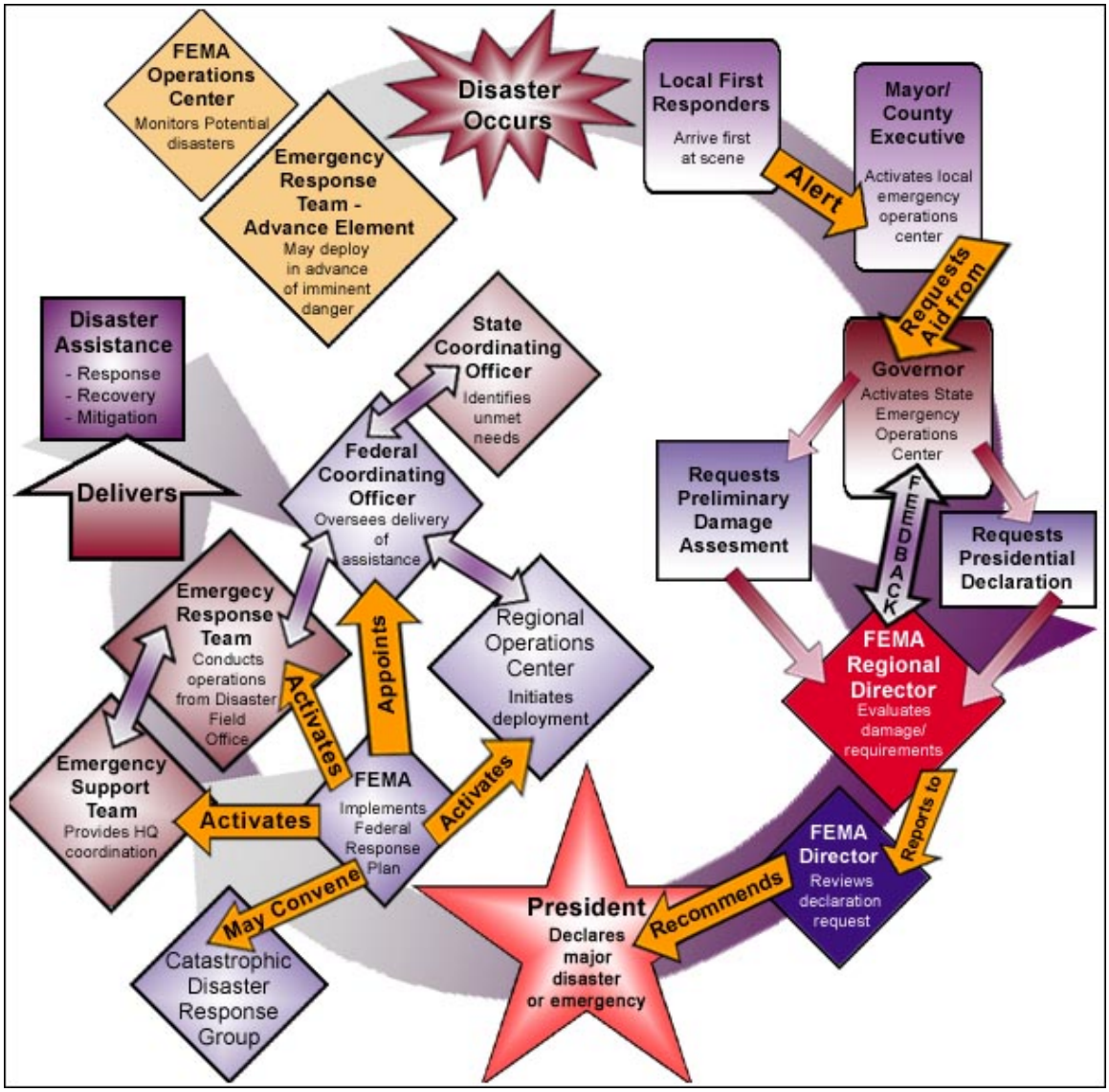
8. As immediate response priorities are met, recovery activities begin in the field. Federal and State agencies helping with recovery and mitigation convene to discuss State needs.

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 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 pre-disaster 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 DFO 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, and local 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 DFO 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 headquarters offices to administer and monitor individual recovery programs, support, and technical services.


FEMA Operations Center
Monitors Potential disasters
Disaster Occurs
Local First Responders
Arrive first at scene
Mayor/ County Executive
Activates local emergency operations center
Alert
Requests Aid from
Emergency Response Team - Advance Element
May deploy in advance of imminent danger
Disaster Assistance
- Response
- Recovery
- Mitigation
Delivers
State Coordinating Officer
Identifies unmet needs
Governor
Activates State Emergency Operations Center
Federal Coordinating Officer
Oversees delivery of assistance
Requests Preliminary Damage Assesment
FEEDBACK
Requests Presidential Declaration
Emergecy Response Team
Conducts operations from Disaster Field Office
Appoints
Regional Operations Center
Initiates deployment
FEMA Regional Director
Evaluates damage/ requirements
Activates
Emergency Support Team
Provides HQ coordination
Activates
FEMA
Implements Federal Response Plan
Activates
Reports to
FEMA Director
Reviews declaration request
May Convene
President
Declares major disaster or emergency
Recommends
Catastrophic Disaster Response Group

This page intentionally left blank.