



National Response Framework

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Homeland
Security

**WORKING DRAFT
PRE-DECISIONAL**

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1 Introduction

2 The National Response Framework (NRF) is an essential component of the National Preparedness
3 System mandated in *Presidential Policy Directive (PPD)-8: National Preparedness*. PPD-8 is aimed
4 at strengthening the security and resilience of the United States through systematic preparation for
5 the threats that pose the greatest risk to the security of the Nation. PPD-8 defines five mission
6 areas—Prevention, Protection, Mitigation, Response, and Recovery—and mandates the development
7 of a series of policy and planning documents to explain and guide the Nation’s collective approach to
8 ensuring and enhancing national preparedness. The NRF sets the doctrine for how the Nation builds,
9 sustains, and delivers the response core capabilities identified in another PPD-8 product, the National
10 Preparedness Goal (the Goal). The Goal establishes the capabilities and outcomes the Nation must
11 accomplish across all five mission areas in order to be secure and resilient.

12 **Prevention:** The capabilities necessary to avoid, prevent, or stop a threatened or actual
13 act of terrorism. As defined by PPD-8, the term “prevention” refers to preventing imminent
14 threats.

15 **Protection:** The capabilities necessary to secure the homeland against acts of terrorism
16 and man-made or natural disasters.

17 **Mitigation:** The capabilities necessary to reduce loss of life and property by lessening
18 the impact of disasters.

19 **Response:** The capabilities necessary to save lives, protect property and the
20 environment, and meet basic human needs after an incident has occurred.

21 **Recovery:** The capabilities necessary to assist communities affected by an incident to
22 recover effectively.

23 Framework Purpose and Organization

24 The NRF is a guide to how the Nation responds to all types of disasters and emergencies. It is built
25 on scalable, flexible, and adaptable concepts identified in the National Incident Management System
26 (NIMS)¹ to align key roles and responsibilities across the Nation. The NRF describes specific
27 authorities and best practices for managing incidents that range from the serious but purely local to
28 large-scale terrorist attacks or catastrophic natural disasters.

29 This document supersedes the NRF that was issued in January 2008. It becomes
30 effective 60 days after publication.

31 The term “response,” as used in the NRF, includes actions to save lives, protect property and the
32 environment, stabilize communities, and meet basic human needs following an incident. Response
33 also includes the execution of emergency plans and actions to support short-term recovery. The NRF
34 describes doctrine for managing any type of disaster or emergency regardless of scale, scope, and
35 complexity. This Framework explains common response discipline and processes that have been
36 developed at all levels of government (local, state, tribal, territorial, insular area,² and Federal) and
37 have matured over time.

¹ <http://www.fema.gov/emergency/nims>

² Per the Stafford Act, insular areas include Guam, the Commonwealth of the Northern Mariana Islands, American Samoa, and the U.S. Virgin Islands. Other statutes or departments and agencies may define the term insular area differently.

38 To support the Goal, the objectives of the NRF are to:

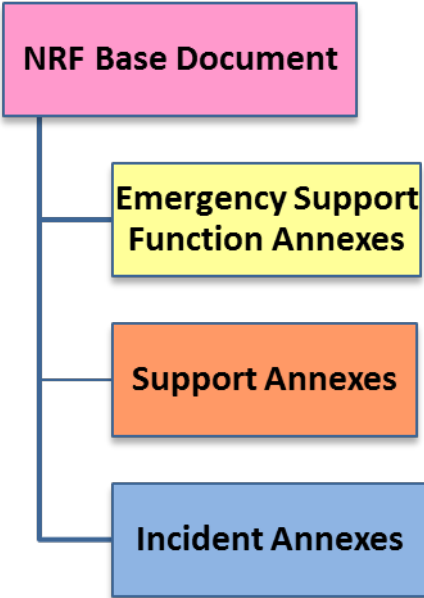
- 39 ▪ Describe scalable, flexible, and adaptable coordinating structures, as well as key roles and
40 responsibilities for integrating capabilities across the whole community,³ to support local, state,
41 tribal, territorial, insular area, and Federal Government efforts to respond to actual and potential
42 incidents
- 43 ▪ Describe, across the whole community, the steps needed to prepare for delivering the response
44 core capabilities
- 45 ▪ Foster integration and coordination of activities within the Response mission area
- 46 ▪ Outline how the Response mission area relates to the other mission areas as well as the
47 relationship between the response core capabilities and the core capabilities in other mission
48 areas
- 49 ▪ Provide guidance through doctrine and establish the foundation for the development of the
50 supplemental Federal Interagency Operational Plan (IOP)-Response.

51 The NRF is comprised of a base document, Emergency Support Function (ESF) Annexes, Support
52 Annexes, and Incident Annexes (see Figure 1). The annexes provide detailed information to assist
53 with the implementation of the NRF.

- 54 ▪ **ESF Annexes** describe the Federal coordinating structures that group resources and capabilities
55 into functional areas that are most frequently needed in a national response.
- 56 ▪ **Support Annexes** describe the essential supporting processes and considerations that are most
57 common to the majority of incidents.
- 58 ▪ **Incident Annexes** describe the unique response aspects of incident categories.

59 All of the documents associated with the NRF are available at the NRF Resource Center,
60 <http://www.fema.gov/NRF>.

³ Whole community includes: individuals, families, communities, the private and nonprofit sectors, faith-based organizations, and Federal, state, local, tribal, and territorial governments. Whole community is defined in the National Preparedness Goal as “a focus on enabling the participation in national preparedness activities of a wider range of players from the private and nonprofit sectors, including nongovernmental organizations and the general public, in conjunction with the participation of Federal, state, and local governmental partners in order to foster better coordination and working relationships.” The National Preparedness Goal is located at <http://www.fema.gov/ppd8>.



61
62

Figure 1: Organization of the NRF

63 *Evolution of the Framework*

64 This NRF is currently the most mature of the national planning frameworks because it builds on 20
65 years of Federal response guidance. The Federal Response Plan published in 1992 focused largely on
66 Federal roles and responsibilities. The establishment of the Department of Homeland Security (DHS)
67 and the emphasis on the development and implementation of common incident management and
68 response principles led to the development of the National Response Plan (NRP) in 2004. It broke
69 new ground in integrating all levels of government, the private sector, and NGOs into a common
70 incident management framework. In 2008, the NRP was superseded by the first NRF which
71 streamlined the guidance and integrated lessons learned from Hurricane Katrina and other incidents.

72 This NRF reiterates the principles and concepts of the 2008 version of the NRF and implements the
73 new requirements and terminology of PPD-8. By fostering a holistic approach to response, this NRF
74 emphasizes the need for involvement of the whole community. Along with the national planning
75 frameworks for other mission areas, this document now describes the all-important integration and
76 inter-relationships among the mission areas of Prevention, Protection, Mitigation, Response, and
77 Recovery.

78 *Relationship to NIMS*

79 The response protocols and structures described in the NRF align with NIMS. NIMS provides the
80 incident management basis for the NRF and defines standard command and management structures.
81 Standardizing national response doctrine on NIMS provides a consistent, nationwide template to
82 enable the whole community to work together to prevent, protect against, respond to, recover from,
83 and mitigate the effects of incidents regardless of cause, size, location, or complexity.

84 All of the components of the NIMS—including preparedness, communications and information
85 management, resource management, and command and management—support response. The NIMS
86 concepts of *multi-agency coordination* and *unified command* are described in the command and
87 management component of NIMS. These two concepts are essential to effective response operations
88 because they address the importance of: (1) developing a single set of objectives; (2) using a

89 collective, strategic approach; (3) improving information flow and coordination; (4) creating a
90 common understanding of joint priorities and restrictions; (5) ensuring that no agency’s legal
91 authorities are compromised or neglected; and (6) optimizing the combined efforts of all participants
92 under a single plan.

93 *Intended Audience*

94 **The NRF is intended to be used by the whole community.** The whole community concept focuses
95 on enabling a full range of stakeholders—the private sector, non-governmental organizations
96 (NGOs), the general public, and all levels of government—to participate in national preparedness
97 activities and to be full partners in incident response. Government resources alone cannot meet all the
98 needs of those affected by major disasters. All elements of the community must be activated,
99 engaged, and integrated to respond to a major or catastrophic incident.

100 Engaging the whole community is essential to the Nation’s success in achieving resilience and
101 national preparedness. Individual and community preparedness is a key component to this objective.
102 By providing equal access to acquire and use the necessary knowledge and skills, the whole
103 community contributes to and benefits from national preparedness. This includes children,
104 individuals with disabilities and others with access and functional needs, those from religious, racial
105 and ethnically diverse backgrounds, and people with limited English proficiency. Their contributions
106 must be integrated into preparedness efforts, and their needs must be incorporated into planning for
107 and delivering the response core capabilities as defined in the Goal.⁴

108 **Scope**

109 The NRF describes structures for implementing nationwide response policy and operational
110 coordination for all types of domestic incidents.⁵ This section describes the scope of the Response
111 mission area, the guiding principles of response doctrine and their application, and how risk informs
112 response planning.

113 The Response mission area focuses on ensuring that the Nation is able to respond effectively to all
114 types of incidents that range from those that are adequately handled with local assets to those of
115 catastrophic proportion that require marshaling the capabilities of the entire Nation. The objectives of
116 the Response mission area define the capabilities necessary to save lives, protect property and the
117 environment, meet basic human needs, stabilize the incident, restore basic services and community
118 functionality, and establish a safe and secure environment moving towards the transition to
119 recovery.⁶

120 The NRF describes the principles, roles and responsibilities, and coordinating structures for
121 delivering the core capabilities required to respond to an incident and further describes how response
122 efforts integrate with those of the other mission areas. The NRF is always in effect, and elements can
123 be implemented at any time. The structures, roles, and responsibilities described in the NRF can be
124 partially or fully implemented in the context of a threat or hazard, in anticipation of a significant
125 event, or in response to an incident. Selective implementation of NRF structures and procedures

⁴ For further information, see the Core Capabilities section.

⁵ A domestic incident may have international and diplomatic impacts and implications that call for coordination and consultations with foreign governments and international organizations. See the International Coordination Support Annex for more information.

⁶ As with all activities in support of the National Preparedness Goal, activities taken under the response mission must be consistent with all pertinent statutes and policies, particularly those involving civil and human rights, such as the Americans with Disabilities Act of 1990, Rehabilitation Act of 1973, and Civil Rights Act of 1964.

126 allows for a scaled response, delivery of the specific resources and capabilities, and a level of
127 coordination appropriate to each incident.

128 In this Framework, the term incident includes actual or potential emergencies and disasters resulting
129 from all types of threats and hazards, ranging from accidents and natural disasters to terrorist attacks.
130 The NRF's structures and procedures address incidents where Federal support to local, state, tribal,
131 territorial, and insular area governments is coordinated under the Robert T. Stafford Disaster Relief
132 and Emergency Assistance Act (Stafford Act) as well as incidents where Federal departments and
133 agencies exercise other authorities and responsibilities.

134 Nothing in the NRF is intended to alter or impede the ability of any local, state, tribal, territorial,
135 insular area, or Federal government or agency to carry out its authorities or meet its responsibilities
136 under applicable laws, executive orders, and directives.

137 *Guiding Principles*

138 The priorities of response are to save lives, protect property and the environment, stabilize the
139 community and provide for basic human needs. The following principles establish fundamental
140 doctrine for the Response mission area: (1) engaged partnership, (2) tiered response, (3) scalable,
141 flexible, and adaptable operational capabilities, (4) unity of effort through unified command, and (5)
142 readiness to act. These principles are rooted in the Federal system and the Constitution's division of
143 responsibilities between state and Federal governments. These principles reflect the history of
144 emergency management and the distilled wisdom of responders and leaders across the whole
145 community.

146 **Engaged Partnership**

147 Effective partnership relies on engaging all elements of the whole community as well as international
148 partners in some cases. This also includes survivors who may require assistance and who may also be
149 resources to support community response and recovery.

150 Those who lead emergency response efforts must communicate and support engagement with the
151 whole community by developing shared goals and aligning capabilities to reduce the risk of any
152 jurisdiction being overwhelmed in times of crisis. Layered, mutually supporting capabilities of
153 individuals, communities, the private sector, NGOs, and governments at all levels allow for
154 coordinated planning in times of calm and effective response in times of crisis. Engaged partnership
155 and coalition building includes ongoing clear, consistent, effective⁷, and culturally appropriate
156 communication and shared situational awareness about an incident to ensure an appropriate response.

157 **Tiered Response**

158 Most incidents begin and end locally and are managed at the local level. These incidents typically
159 require a unified response from local agencies, the private sector, and NGOs. Some may require
160 additional support from neighboring jurisdictions or state governments.⁸ A smaller number of
161 incidents require Federal support or are led by the Federal Government. National response protocols
162 are structured to provide tiered levels of support when additional resources or capabilities are needed.

⁷ Information, warnings, and communications associated with emergency management must ensure effective communication, such as through the use of appropriate auxiliary aids and services (e.g., interpreters, captioning, alternate format documents) with individuals with disabilities and provide meaningful access to limited English proficient individuals.

⁸ Certain incidents such as a pandemic or cyber event may not be limited to a specific geographic area and may be managed at the local, insular area, territorial, tribal, state, or Federal level depending on the nature of the incident.

163 Scalable, Flexible, and Adaptable Operational Capabilities

164 As incidents change in size, scope, and complexity, response efforts must adapt to meet evolving
165 requirements. The number, type, and sources of resources must be able to expand rapidly to meet the
166 changing needs associated with a given incident and its cascading effects. As needs grow and change,
167 response processes must remain nimble and adaptable. The structures and processes described in the
168 NRF must be able to surge resources from the whole community. As incidents stabilize, response
169 efforts must be flexible to support the transition from response to recovery.

170 Unity of Effort through Unified Command

171 Effective, unified command is indispensable to response activities and requires a clear understanding
172 of the roles and responsibilities of all participating organizations.⁹ The Incident Command System
173 (ICS), a component of the NIMS, is an important element in ensuring interoperability across multi-
174 jurisdictional or multi-agency incident management activities. Unified command, a central tenet of
175 ICS, enables organizations with jurisdictional authority or functional responsibility for an incident to
176 support each other through the use of mutually developed incident objectives. Each participating
177 agency maintains its own authority, responsibility, and accountability.

178 Readiness to Act

179 Effective response requires a readiness to act that is balanced with an understanding of the risks and
180 hazards responders face. From individuals, families, and communities to local, state, tribal, insular
181 area, and Federal governments, national response depends on the ability to act decisively. A forward-
182 leaning posture is imperative for incidents that may expand rapidly in size, scope, or complexity as
183 well as incidents that occur without warning. Decisive action is often required to save lives and
184 protect property and the environment. Although some risk to responders may be unavoidable, all
185 response personnel are responsible for anticipating and managing risk through proper planning,
186 organizing, equipping, training, and exercising. Effective response relies on disciplined processes,
187 procedures, and systems to communicate timely, accurate, and accessible information about an
188 incident's cause, size, and current status to the public, responders, and other stakeholders.

189 Risk Basis

190 The NRF leverages the findings from the Strategic National Risk Assessment (SNRA) to build and
191 deliver the response core capabilities. The SNRA identifies the threats and hazards that pose the
192 greatest risk to the Nation. These findings affirm the need for an all-hazards, capability-based
193 approach to preparedness to ensure that all types of scenarios are accounted for. The risks and threats
194 identified by SNRA include the following:

- 195 ■ Natural hazards—including hurricanes, earthquakes, tornados, wildfires, and floods—present a
196 significant and varied risk across the country.
- 197 ■ A virulent strain of pandemic influenza could kill hundreds of thousands of Americans, affect
198 millions more, and result in considerable economic loss. Additional human and animal infectious
199 diseases, including those previously undiscovered, may also present significant risks.

⁹ The Incident Command System's "unified command" concept is distinct from the military use of this term. Concepts of "command" and "unity of command" have distinct legal and cultural meanings for military forces and military operations. Military forces always remain under the control of the military chain of command and are subject to redirection or recall at any time. Military forces do not operate under the command of the incident commander or under the unified command structure, but they do coordinate with response partners and work towards a unity of effort while maintaining their internal chain of command.

- 200 ▪ Technological and accidental hazards, such as dam failures or chemical substance spills or
201 releases, have the potential to cause extensive fatalities and severe economic impacts, and the
202 likelihood of occurrence may increase due to aging infrastructure.
- 203 ▪ Terrorist organizations or affiliates may seek to acquire, build, and use weapons of mass
204 destruction. Conventional terrorist attacks, including those by lone actors employing explosives
205 and armed attacks, present a continued risk to the Nation.
- 206 ▪ Cyber attacks can have catastrophic consequences and may also have cascading effects such as
207 power grid or financial system failures.

208 No single threat or hazard exists in isolation. As an example, a hurricane can lead to flooding, dam
209 failures, and hazardous materials spills. The Goal, therefore, focuses on core capabilities that can be
210 applied to deal with cascading effects. Since many incidents occur with little or no warning, these
211 capabilities must be able to be delivered in a no-notice environment.

212 In order to establish the basis for these capabilities, planning factors drawn from a number of
213 different scenarios are used to develop the Federal IOP-Response which supplements the NRF. Refer
214 to the Operational Planning section for additional details on planning assumptions.

215 **Roles and Responsibilities**

216 Effective response depends on integration of the whole community and all partners executing their
217 roles and responsibilities. This section describes those roles and responsibilities and sharpens the
218 focus on identifying who is involved with the Response mission area. It also addresses what the
219 various partners must do to deliver the response core capabilities and to integrate successfully with
220 the Prevention, Protection, Mitigation, and Recovery mission areas.

221 An effective, unified national response requires layered, mutually supporting capabilities. Individuals
222 and families, communities, the private sector, NGOs, and local, state, tribal, territorial, insular areas,
223 and Federal governments should each understand their respective roles and responsibilities and how
224 to complement each other in achieving shared goals. All elements of the whole community play
225 prominent roles in developing the core capabilities needed to respond to incidents. This includes
226 developing plans, conducting assessments and exercises, providing and directing resources and
227 capabilities, and gathering lessons learned. These activities require that all partners understand how
228 they fit within and are supported by the structures described in the NRF.

229 Emergency management staff in all jurisdictions has a fundamental responsibility to consider the
230 needs of all members of the whole community, including children; individuals with disabilities and
231 others with access and functional needs; those from religious, racial, and ethnically diverse
232 backgrounds; and people with limited English proficiency. The potential contributions of all these
233 individuals towards delivering core capabilities during incident response (e.g., through associations
234 and alliances that serve these populations) should be incorporated into planning efforts.¹⁰

235 Staff must also consider those who own or have responsibility for animals both as members of the
236 community who may be affected by incidents and as a potential means of supporting response
237 efforts. This includes those with household pets, service and assistance animals, working dogs, and
238 livestock, as well as those who have responsibility for wildlife, exotic animals, zoo animals, research
239 animals, and animals housed in shelters, rescue organizations, breeding facilities, and sanctuaries.

¹⁰ See <http://ready.gov/coping-with-disaster> for specific planning guidance.

240 *Individuals, Families, and Households*

241 Although not formally part of emergency management operations, individuals, families, and
242 households play an important role in emergency preparedness and response. By reducing hazards in
243 and around their homes by efforts such as raising utilities above flood level or securing unanchored
244 objects against the threat of high winds, individuals reduce potential emergency response
245 requirements. Individuals, families, and households should also prepare emergency supply kits and
246 emergency plans so they can take care of themselves and their neighbors until assistance arrives.
247 Information on emergency preparedness can be found at many community, state, and Federal
248 emergency management web sites, such as <http://www.ready.gov>.

249 Individuals can also contribute to the preparedness and resilience of their households and
250 communities by volunteering with emergency organizations (e.g., the local chapter of the American
251 Red Cross, Medical Reserve Corps, or Community Emergency Response Teams (CERT)) and
252 completing emergency response training courses. Individuals, families, and households should make
253 preparations with family members who have access and functional needs or medical needs. Their
254 plans should also include provisions for household pets or service animals. During an actual disaster,
255 emergency, or threat, individuals, households, and families should monitor emergency
256 communications and follow guidance and instructions provided by local authorities.

257 *Communities*

258 Communities are groups that share goals, values, and institutions. They are not always bound by
259 geographic boundaries or political divisions. Instead, they may be faith-based organizations,
260 neighborhood partnerships, advocacy groups, academia, social and community groups, and
261 associations. Communities bring people together in different ways for different reasons, but each
262 provides opportunities for sharing information and promoting collective action. Engaging these
263 groups in preparedness efforts, particularly at the local and state levels, is important to identifying
264 their needs and taking advantage of their potential contributions.

265 *Non-governmental Organizations*

266 NGOs play vital roles at the local, state, tribal, territorial, insular area, and national levels in
267 delivering important services including those associated with the response core capabilities. NGOs
268 include voluntary organizations, racial and ethnic organizations, faith-based groups, veteran-based,
269 and non-profit organizations that provide sheltering, emergency food supplies, and other essential
270 support services. NGOs are inherently independent and committed to specific interests and values.
271 These interests and values drive the groups' operational priorities and shape the resources they
272 provide. NGOs bolster government efforts at all levels and often provide specialized services to the
273 whole community, as well as to certain members of the population to include children; individuals
274 with disabilities and others with access and functional needs; those from religious, racial, and
275 ethnically diverse backgrounds; and people with limited English proficiency. NGOs are key partners
276 in preparedness activities and response operations.

277 Examples of NGO contributions include:

- 278 ▪ Training and managing volunteer resources
- 279 ▪ Identifying physically accessible shelter locations and needed supplies to support those displaced
280 by an incident
- 281 ▪ Providing emergency commodities and services, such as water, food, shelter, assistance with
282 family reunification, clothing, and supplies for post-emergency cleanup

- 283 ▪ Supporting the evacuation, rescue, care, and sheltering of animals displaced by the incident
- 284 ▪ Providing search and rescue, transportation, and logistics services and support
- 285 ▪ Identifying those whose needs have not been met and helping to provide assistance
- 286 ▪ Providing health, medical, and mental health resources
- 287 ▪ Assisting, coordinating, and providing disability-related assistance and functional needs support
- 288 services, including providing language assistance services to individuals with limited English
- 289 proficiency.

290 At the same time that NGOs support response core capabilities, they may also require government
 291 assistance. When planning for local community emergency management resources, government
 292 organizations should consider the potential need to assist NGOs to better enable them to perform
 293 their essential response functions.

294 Some NGOs are officially designated as support elements to national response capabilities.

- 295 ▪ **The American Red Cross.** The American Red Cross is chartered by Congress to provide relief
 296 to survivors of disasters and help people prevent, prepare for, and respond to emergencies. The
 297 Red Cross has a legal status of “a federal instrumentality” and maintains a special relationship
 298 with the Federal Government. In this capacity, the American Red Cross supports several ESFs
 299 and the delivery of multiple core capabilities.
- 300 ▪ **National Voluntary Organizations Active in Disaster (VOAD).**¹¹ National VOAD is the
 301 forum where organizations share knowledge and resources throughout the disaster cycle—
 302 preparation, response, and recovery—to help disaster survivors and their communities. National
 303 VOAD is a consortium of approximately 50 national organizations and 55 territorial and state
 304 equivalents.
- 305 ▪ **Volunteers and Donations.** Incident response operations frequently exceed the resources of
 306 government organizations. Volunteers and donors support response efforts in many ways, and
 307 governments at all levels must plan ahead to incorporate volunteers and donated resources into
 308 response activities. The goal of volunteer and donations management is to support jurisdictions
 309 affected by disasters through close collaboration with the voluntary organizations and agencies.
 310 The objective is to manage the influx of volunteers and donations to voluntary agencies and all
 311 levels of government before, during, and after an incident. Additional information may be found
 312 in the Volunteers and Donations Management Support Annex.

313 *Private Sector Entities*

314 Private sector organizations contribute to response efforts through partnerships with each level of
 315 government. They play key roles before, during, and after incidents. Private sector entities include
 316 businesses, commerce, private universities, and industry. Private sector organizations may be
 317 involved in incidents in several different capacities (as described in Table 1). During an incident, key
 318 private sector partners should have a direct link to emergency managers and, in some cases, be
 319 involved in the decisionmaking process. Communities may not be able to respond effectively to
 320 incidents without private sector resources; therefore, strong cooperative relations between
 321 government agencies and the private sector are essential.

¹¹ Additional information is available at <http://www.nvoad.org>.

Table 1: Private Sector Roles

Row	Category	Role in This Category
1	Affected Organization or Infrastructure	Private sector organizations may be affected by direct or indirect consequences of an incident. Such organizations include privately owned critical infrastructure and other entities that are significant to local, regional, and national economic recovery from an incident. Examples of privately owned infrastructure include transportation and transit, telecommunications, utilities, financial institutions, hospitals, and other health regulated facilities. ¹²
2	Regulated and/or Responsible Party	Owners/operators of certain regulated facilities or hazardous operations may be legally responsible for preparing for and preventing incidents and responding when an incident occurs. For example, Federal regulations require owners/operators of nuclear power plants to maintain emergency plans and to perform assessments, notifications, and training for incident response.
3	Response Resource	Private sector entities provide response resources (donated or compensated) during an incident—including specialized teams, essential services, equipment, and advanced technologies—through local public-private emergency plans or mutual aid and assistance agreements or in response to requests from government and non-governmental-volunteer initiatives.
4	Partner With State/Local Emergency Organizations	Private sector entities may serve as partners in state and local emergency preparedness and response organizations and activities.
5	Components of the Nation's Economy	As key elements of the national economy, private sector resilience and continuity of operations planning, as well as recovery and restoration from incidents, represent essential homeland security activities.

323
324 A fundamental responsibility of private sector organizations is to provide for the welfare of their
325 employees in the workplace. In addition, some businesses play an essential role in protecting critical
326 infrastructure systems and implementing plans for the rapid restoration of normal commercial
327 activities and critical infrastructure operations following a disruption. In many cases, private sector
328 organizations have immediate access to commodities and services that can support incident response,
329 making them key potential contributors of resources necessary to deliver the core capabilities. How
330 the private sector participates in response activities varies based on the type of organization and the
331 nature of the incident.

332 Examples of key private sector activities include:

- 333 ■ Addressing the response needs of employees, infrastructure, and facilities
- 334 ■ Protecting information and maintaining the continuity of business operations

¹² Additional information on protection of critical infrastructure can be found in the National Protection Framework, the National Infrastructure Protection Plan, and the Critical Infrastructure Support Annex available at the NRF Resource Center, <http://www.fema.gov/NRF>.

- 335 ▪ Planning for, responding to, and recovering from incidents that impact their own infrastructure
336 and facilities
- 337 ▪ Collaborating with emergency management personnel to determine what assistance may be
338 required and how they can provide needed support
- 339 ▪ Contributing to communication and information sharing efforts during incidents
- 340 ▪ Planning, training, and exercising their response capabilities
- 341 ▪ Providing assistance specified under mutual aid and assistance agreements
- 342 ▪ Contributing resources, personnel, and expertise; helping to shape objectives; and receiving
343 information about the status of the community.

344 *Local Governments*

345 The responsibility for responding to natural and manmade incidents that have recognizable
346 geographic boundaries generally begins at the local level with individuals and public officials in the
347 county, parish, city, or town affected by an incident. The following paragraphs describe the
348 responsibilities of specific local officials who have emergency management responsibilities.

349 **Chief Elected or Appointed Official**

350 Jurisdictions' chief executives are responsible for the public safety and welfare of the people of that
351 jurisdiction. These officials provide strategic guidance and resources across all five mission areas.
352 Chief elected or appointed officials must have a clear understanding of their emergency management
353 roles and responsibilities and how to apply the response core capabilities as they may need to make
354 decisions regarding resources and operations during an incident. Lives may depend on their
355 decisions. Elected and appointed officials also routinely shape or modify laws, policies, and budgets
356 to aid preparedness efforts and improve emergency management and response capabilities. The local
357 chief executive's response duties may include:

- 358 ▪ Obtaining assistance from other governmental agencies
- 359 ▪ Providing direction for response activities
- 360 ▪ Ensuring appropriate information is provided to the public.

361 **Emergency Manager**

362 The jurisdiction's emergency manager oversees the day-to-day emergency management programs
363 and activities. The emergency manager works with chief elected and appointed officials to establish
364 unified objectives regarding the jurisdiction's emergency plans and activities. This role entails
365 coordinating and integrating all elements of the community. The emergency manager coordinates all
366 components of the local emergency management program. This includes assessing the capacity and
367 readiness to deliver the capabilities most likely required during an incident and identifying and
368 correcting any shortfalls. The local emergency manager's duties often include:

- 369 ▪ Advising elected and appointed officials during a response
- 370 ▪ Conducting response operations in accordance with the NIMS
- 371 ▪ Coordinating the functions of local agencies
- 372 ▪ Coordinating the development of plans and working cooperatively with other local agencies,
373 community organizations, private sector entities, and NGOs

- 374 ▪ Developing and maintaining mutual aid and assistance agreements
- 375 ▪ Coordinating resource requests during an incident through the management of an emergency
376 operations center
- 377 ▪ Coordinating damage assessments during an incident
- 378 ▪ Advising and informing local officials and public about emergency management activities during
379 an incident
- 380 ▪ Developing and executing accessible public awareness and education programs
- 381 ▪ Conducting exercises to test plans and systems and obtain lessons learned.

382 **Department and Agency Heads**

383 Department and agency heads collaborate with the emergency manager during the development of
384 local emergency plans and provide key response resources. Participation in the planning process
385 helps to ensure that specific capabilities are integrated into a workable plan to safeguard the
386 community. These department and agency heads and their staffs develop, plan, and train on internal
387 policies and procedures to meet response needs safely. They also participate in interagency training
388 and exercises to develop and maintain necessary capabilities.

389 If local resources are inadequate, local authorities may seek assistance from the county emergency
390 manager or the state. Under some Federal authorities, local jurisdictions may also seek assistance
391 directly from the Federal Government for non-Stafford Act incidents.

392 **State, Tribal, Territorial, and Insular Area Governments**

393 State, tribal, territorial, and insular area governments are responsible for the health and welfare of
394 their residents, communities, lands, and cultural heritage.

395 **States**

396 State governments¹³ supplement local efforts before, during, and after incidents by applying in-state
397 resources first. If a state anticipates that its resources may be exceeded, the governor¹⁴ may request
398 assistance from the Federal Government and from other states through mutual aid and assistance
399 agreements such as the Emergency Management Assistance Compact (EMAC).¹⁵

400 Federal assistance may be available to the states under the Stafford Act and other Federal authorities.
401 Under some Federal laws, Federal response actions may be taken without a request from the state.
402 For example, when notified of an oil discharge or chemical release, the Environmental Protection
403 Agency (EPA) and U.S. Coast Guard (USCG) are required to evaluate the need for Federal response
404 and may take action without waiting for a request from state or local officials. Federal financial
405 assistance may also be available to supplement non-Stafford Act incidents and for disability-related

¹³ States are sovereign entities, and the governor has responsibility for public safety and welfare. Although U.S. territories, possessions, freely associated states, and tribal governments also have sovereign rights, there are unique factors involved in working with these entities. Stafford Act assistance is available to states and to the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands, which are included in the definition of “state” in the Stafford Act. Federal disaster preparedness, response, and recovery assistance is available to the Federated States of Micronesia and the Republic of the Marshall Islands pursuant to Compacts of Free Association. The extent to which Federal response or assistance is provided to insular areas, territories, and tribes under other Federal laws is defined in those laws and supporting regulations.

¹⁴ “Governor” is used throughout this document to refer to the chief executive of states, territories, and insular areas.

¹⁵ A reference paper on the EMAC is available at the NRF Resource Center, <http://www.fema.gov/NRF>.

406 access and functional needs equipment. The following paragraphs describe some of the relevant roles
407 and responsibilities of key officials.

408 ***Governor***

409 The public safety and welfare of a state’s residents are fundamental responsibilities of every
410 governor. The governor coordinates state resources and provides the strategic guidance for response
411 to all types of incidents. This includes supporting local governments as needed and coordinating
412 assistance with other states and the Federal Government. A governor also:

- 413 ▪ In accordance with state law, may make, amend, or suspend certain orders or regulations
414 associated with response
- 415 ▪ Communicates to the public, in an accessible manner (e.g., effective communications to address
416 all members of the whole community), and helps people, businesses, and organizations cope with
417 the consequences of any type of incident
- 418 ▪ Coordinates with tribal governments within the state
- 419 ▪ Commands the state military forces (National Guard personnel not in Federal service and state
420 militias)
- 421 ▪ Coordinates assistance from other states through interstate mutual aid and assistance agreements,
422 such as the EMAC
- 423 ▪ Requests Federal assistance including, if appropriate, a Stafford Act declaration of an emergency
424 or major disaster.

425 ***State Homeland Security Advisor***

426 Many states have designated homeland security advisors who serve as counsel to the governor on
427 homeland security issues and may serve as a liaison between the governor’s office, the state
428 homeland security structure, DHS, and other organizations both inside and outside of the state. The
429 advisor often chairs a committee comprised of representatives of relevant state agencies, including
430 public safety, the National Guard, emergency management, public health, environment, agriculture,
431 and others charged with developing prevention, protection, mitigation, response, and recovery
432 strategies.

433 ***State Emergency Management Agency Director***

434 All states have laws mandating the establishment of a state emergency management agency as well
435 as the emergency plans coordinated by that agency. The director of the state emergency management
436 agency is responsible for ensuring that the state is prepared to deal with large-scale emergencies and
437 coordinating the statewide response to any such incident. This includes supporting local and tribal
438 governments as needed, coordinating assistance with other states and the Federal Government, and,
439 in some cases, with NGOs and private sector organizations. The state emergency management
440 agency may dispatch personnel to assist in the response and recovery effort.

441 ***National Guard***

442 The National Guard is an important state and Federal resource available for planning, preparing, and
443 responding to natural or man-made incidents. National Guard members have expertise in critical
444 areas, such as emergency medical response, communications, logistics, search and rescue, civil

445 engineering, chemical, biological, radiological, nuclear, and high-yield explosives response and
446 planning, and decontamination.¹⁶

447 The governor may activate elements of the National Guard to support state domestic civil support
448 functions and activities. The state adjutant general may assign members of the Guard to assist with
449 state, regional, and Federal civil support plans.

450 ***Other State Departments and Agencies***

451 State department and agency heads and their staffs develop, plan, and train on internal policies and
452 procedures to meet response and recovery needs. They also participate in interagency training and
453 exercises to develop and maintain the necessary capabilities. They are vital to the state’s overall
454 emergency management program, as they bring expertise spanning various response functions and
455 serve as core members of the state emergency operations center (EOC) and incident command posts
456 (ICP). Many of them have direct experience in providing accessible and vital services to the whole
457 community during response operations. State departments and agencies typically work in close
458 coordination with their Federal counterpart agencies during joint state and Federal responses, and
459 under some Federal laws, they may request assistance from these Federal partners.

460 **Tribal Governments**

461 The United States has a trust relationship with federally-recognized Indian tribes and recognizes their
462 right to self-government. Tribal governments are responsible for coordinating resources to address
463 actual or potential incidents. When tribal response resources are inadequate, tribal leaders may seek
464 assistance from states or the Federal Government. For certain types of Federal assistance, tribal
465 governments work with the state in which they are located. For other types of Federal assistance, as
466 sovereign entities, tribal governments can elect to work directly with the Federal Government.

467 Tribes are encouraged to build relationships with local jurisdictions and their states as they may have
468 resources most readily available. The Tribal Coordination Support Annex outlines processes and
469 mechanisms that tribal governments may use to request direct Federal assistance during an incident
470 regardless of whether or not the incident involves a Stafford Act declaration.

471 **Territories/Insular Areas**

472 Territorial and insular area governments are responsible for coordinating resources to address actual
473 or potential incidents. Due to their remote locations, territories and insular areas often face unique
474 challenges in receiving assistance from outside the jurisdiction quickly and often request assistance
475 from neighboring islands, other nearby countries, states, private sector or NGO resources, or the
476 Federal Government. Federal assistance is delivered in accordance with pertinent Federal authorities
477 (e.g., the Stafford Act or through other authorities of Federal departments or agencies).

478 ***Tribal/Territorial/Insular Area Leader***

479 The tribal/territorial/insular area leader is responsible for the public safety and welfare of the people
480 of his/her jurisdiction. As authorized by the tribal, territorial, or insular area government, the leader:

- 481 ■ Coordinates resources needed to respond to incidents of all types

¹⁶ The President can federalize National Guard forces for domestic duties as active duty military under Title 10 (e.g., in cases of invasion by a foreign nation, rebellion against the authority of the United States, or where the President is unable to execute the laws of the United States with regular forces under 10 U.S.C. §12406). When National Guardsmen are mobilized under Title 10 of the U.S. Code, the active duty forces are no longer under the command of the governor. Instead, the Department of Defense assumes full command and control over National Guard forces.

- 482 ▪ In accordance with the law, may make, amend, or suspend certain orders or regulations
483 associated with the response
- 484 ▪ Communicates with the public in an accessible manner and helps people, businesses, and
485 organizations cope with the consequences of any type of incident
- 486 ▪ Commands the territory's military forces
- 487 ▪ Negotiates mutual aid and assistance agreements with other tribes, territories, insular areas,
488 states, or local jurisdictions
- 489 ▪ Can request Federal assistance under the Stafford Act.

490 *Federal Government*

491 The Federal Government maintains a wide range of capabilities and resources that may be required to
492 deal with domestic disasters or emergencies. Although Federal disaster assistance is often considered
493 synonymous with Presidential declarations under the Stafford Act, Federal assistance can actually be
494 provided to state and local jurisdictions, as well as to other Federal departments and agencies,
495 through a number of different mechanisms and authorities.

496 For incidents in which Federal assistance is provided under the Stafford Act, the Federal Emergency
497 Management Agency (FEMA) coordinates the assistance. For non-Stafford Act incidents, Federal
498 response or assistance may be led or coordinated by various Federal departments and agencies
499 consistent with their authorities.

500 For incidents on Federal property (e.g., National Parks, military bases) or where the Federal
501 Government has primary jurisdiction (e.g., oil/hazmat spill), Federal departments or agencies may be
502 the first responders and coordinators of Federal, state, and local activities.

503 *Coordination of Federal Response and Assistance*

504 The President leads the Federal Government response effort to ensure that the necessary resources
505 are applied quickly and efficiently to large-scale and catastrophic incidents. When the overall
506 coordination of Federal response activities is required as defined in Homeland Security Presidential
507 Directive 5 (HSPD-5), it is implemented through the Secretary of Homeland Security. Other Federal
508 departments and agencies carry out their response authorities and responsibilities within this
509 overarching construct.

510 *Secretary of Homeland Security*

511 The Secretary of Homeland Security is responsible for the Federal Government's preparedness
512 activities including preventing, protecting against, mitigating, responding to, and recovering from
513 terrorist attacks, major disasters, and other emergencies. As part of these responsibilities, the
514 Secretary coordinates Federal entities to ensure Federal unity of effort for domestic incident
515 management. The Secretary's preparedness responsibilities also include overseeing the broad
516 emergency management and response authorities of FEMA and other DHS components.

517 As the principal Federal official for domestic incident management, the Secretary of Homeland
518 Security provides the President with an overall architecture for domestic incident management and
519 coordinates the Federal response, as required. The Secretary of Homeland Security may monitor
520 activities and activate specific response mechanisms to support other Federal departments and

521 agencies without assuming the overall coordination of the Federal response during incidents that do
 522 not require the Secretary to coordinate the response or do not result in a Stafford Act declaration.¹⁷

523 The President expressly charged the Secretary of Homeland Security with coordinating the Federal
 524 Government’s resources utilized in response to or recovery from terrorist attacks, major disasters, or
 525 other emergencies. Generally, the Secretary assumes responsibility for domestic incident
 526 management when any one of the following conditions is satisfied: (1) a Federal department or
 527 agency acting under its own authority has requested the assistance of the Secretary; (2) the resources
 528 of state and local authorities are overwhelmed and Federal assistance has been requested by the
 529 appropriate state and local authorities; (3) more than one Federal department or agency has become
 530 substantially involved in responding to the incident; or (4) as directed by the President.

531 DHS component heads have lead response roles or other significant roles depending on the type and
 532 severity of the incident. For example, the U.S. Secret Service is the lead agency for security design,
 533 planning, and implementation of National Special Security Events (NSSEs).

534 Other Federal departments and agencies may have a lead or support role in operations coordination.
 535 When the Secretary of Homeland Security is not exercising HSPD-5 response coordination
 536 responsibilities, other Federal departments and agencies may coordinate Federal operations under
 537 their own statutory authorities and may activate response structures applicable to those authorities.
 538 The head of the department or agency may also request the Secretary to activate other NRF structures
 539 and elements to provide additional assistance, while still retaining leadership for the response. For all
 540 incidents, Federal department and agency heads serve as advisors to the Executive Branch for their
 541 areas of responsibility. Nothing in the NRF precludes any Federal department or agency from
 542 executing their authorities.

543 Several Federal departments and agencies have authorities to respond to and declare specific types of
 544 disasters or emergencies apart from the Stafford Act. These authorities may be exercised
 545 independently of, concurrently with, or become part of a Federal response coordinated by the
 546 Secretary of Homeland Security under HSPD-5. Federal departments and agencies carry out their
 547 response authorities and responsibilities within the NRF’s overarching construct or under
 548 supplementary or complementary operational plans. Table 2 provides examples of scenarios in which
 549 specific Federal departments and agencies have the responsibility for coordinating response
 550 activities. This is not an all-inclusive list. Refer to the NRF Incident Annexes for more details.

551 **Table 2: Examples of Other Federal Department and Agency Authorities**

Row	Scenario	Department/Agency	Authorities
6	Agricultural and Food Incident	Department of Agriculture (USDA)	The Secretary of Agriculture has the authority to declare an extraordinary emergency and take action due to the presence of a pest or disease of livestock that threatens livestock in the United States.(7 U.S. Code § 8306 [2007]) The Secretary of Agriculture also has the authority to declare an extraordinary emergency and take action due to the presence of a plant pest or noxious weed whose presence threatens plants or plant products of the United States. (7 U.S. Code § 7715 [2007])

¹⁷ As per the Homeland Security Act of 2002 and Homeland Security Presidential Directive 5 (HSPD-5)

Row	Scenario	Department/Agency	Authorities
7	Public Health Emergency ¹⁸	Department of Health and Human Services	The Secretary of the Department of Health and Human Services has the authority to take actions to protect the public health and welfare, declare a public health emergency and to prepare for and respond to public health emergencies. (Public Health Service Act, 42 U.S.C. §§ 201 <i>et seq.</i> [2007])
8	Oil and Hazardous Materials Spills	EPA or USCG	EPA and USCG have the authority to take actions to respond to oil discharges and releases of hazardous substances, pollutants and contaminants, including leading the response. (42 U.S. Code § 9601, <i>et seq.</i> , 33 U.S. Code § 1251 <i>et seq.</i>) The EPA Administrator and Commandant of the USCG ¹⁹ may also classify an oil discharge as a Spill of National Significance and designate senior officials to participate in the response. (40 CFR § 300.323)
9	<i>NOTE: These authorities may be exercised independently of, concurrently with, or become part of a Federal response coordinated by the Secretary of Homeland Security under HSPD-5.</i>		

552

553 When a Federal department, agency, or component of DHS has responsibility for directing or
554 managing a major aspect of a response coordinated by the Secretary of Homeland Security, that
555 organization is part of the national leadership for the incident and is represented in field, regional,
556 and headquarters unified command and coordination organizations.

557 *The FEMA Administrator*

558 The Administrator is the principal advisor to the President, the Secretary of Homeland Security, and
559 the Homeland Security Council regarding emergency management. The FEMA Administrator's
560 duties include assisting the President, through the Secretary, in carrying out the Stafford Act,
561 operation of the NRCC, the effective support of all ESFs, and more generally, preparation for,
562 protection against, response to, and recovery from all-hazards incidents. Reporting to the Secretary of
563 Homeland Security, the FEMA Administrator is also responsible for management of the core DHS
564 grant programs supporting homeland security activities.²⁰

565 *Law Enforcement*

566 Generally acting through the Federal Bureau of Investigation (FBI), the Attorney General has the
567 lead responsibility for criminal investigations of terrorist acts or terrorist threats by individuals or
568 groups inside the United States or directed at United States citizens or institutions abroad, as well as
569 for coordinating activities of the other members of the law enforcement community to detect,
570 prevent, and disrupt terrorist attacks against the United States. In addition, the Attorney General
571 approves requests submitted by state governors for personnel and other Federal law enforcement
572 support during incidents. The Attorney General also enforces Federal civil rights laws, such as the

¹⁸ A declaration of a Public Health Emergency does not provide a funding source.

¹⁹ The Commandant of the USCG coordinates the designation of a Spill of National Significance with the Secretary of Homeland Security, as appropriate.

²⁰ See the Post-Katrina Emergency Management Reform Act, enacted as part of the FY 2007 DHS Appropriations Act, P.L. 109-295.

573 Americans with Disabilities Act of 1990 and the Civil Rights Act of 1964. Further information on the
574 Attorney General’s role is provided in the National Prevention Framework and Federal IOP-
575 Prevention.

576 ***National Defense and Defense Support of Civil Authorities***

577 Because of the Department of Defense’s (DOD’s) critical role in national defense, its resources are
578 committed only after approval by the Secretary of Defense or at the direction of the President. Many
579 DOD components and agencies are authorized to respond to save lives, protect property, and mitigate
580 human suffering under imminently serious conditions as well as to provide support under their
581 separate established authorities, as appropriate.²¹ When DOD resources are authorized to support
582 civil authorities, command of those forces remains with the Secretary of Defense. DOD elements in
583 the incident area of operations and National Guard forces under the command of a governor
584 coordinate closely with response organizations at all levels.²²

585 ***International Coordination***

586 A domestic incident may have international and diplomatic implications that call for coordination
587 and consultation with foreign governments and international organizations. The Secretary of State is
588 responsible for all communication and coordination between the U.S. Government and other nations
589 regarding the response to a domestic crisis. The Department of State also coordinates international
590 offers of assistance and formally accepts or declines these offers on behalf of the U.S. Government
591 based on needs conveyed by DHS or other Federal departments and agencies as stated in the
592 International Coordination Support Annex. Some types of international assistance are pre-identified,
593 and bilateral agreements are already established. For example, the USDA/Forest Service and
594 Department of the Interior have joint bilateral agreements with several countries for wildland
595 firefighting support.

596 ***Other Federal Departments and Agencies***

597 Various Federal departments or agencies play primary, coordinating, or support roles in delivering
598 response core capabilities. They may also have responsibilities and authorities to respond
599 independent of any Stafford Act declaration as indicated above. Additional information regarding
600 Federal department and agency roles in delivering core capabilities may be found in the Coordinating
601 Structures and Integration section and in the various annexes to this Framework.

602 **Core Capabilities**

603 Once an incident occurs, efforts focus on saving lives, protecting property and the environment, and
604 preserving the social, economic, cultural, and political structure of the jurisdiction. Depending on the
605 size, scope, and magnitude of an incident, local, state, tribal, territorial, and insular area governments,
606 and, in some cases, the Federal Government, may be called to action. The response core capabilities
607 are a list of the activities that generally must be accomplished in incident response regardless of
608 which levels of government are involved.

²¹ In response to a request for assistance from a civilian authority, under imminently serious conditions, and if time does not permit approval from higher authority, DOD officials may provide an immediate response by temporarily employing the resources under their control, subject to any supplemental direction provided by higher headquarters, to save lives, prevent human suffering, or mitigate great property damage within the United States. Immediate response authority does not permit actions that would subject civilians to the use of military power that is regulatory, prescriptive, proscriptive, or compulsory. (DOD Directive 3025.18).

²² Additional information on DOD support is available at the NRF Resource Center, <http://www.fema.gov/NRF>.

609 This list was developed based on the results of the SNRA which identified a variety of threats and
 610 hazards that would likely stress the Nation’s response capabilities. Planners for each mission area—
 611 Prevention, Protection, Mitigation, Response, and Recovery—identified functions that would be
 612 required to deal with these threats and hazards, and these are the core capabilities. The core
 613 capabilities thus provide a common vocabulary describing the significant functions that must be
 614 developed and executed across the whole community to assure national preparedness.

615 This section addresses the core capabilities for the Response mission area and the actions required to
 616 build and deliver these capabilities.

617 *Context of the Response Mission Area*

618 By engaging the whole community to build and deliver the response core capabilities, the Nation is
 619 better prepared to respond to any threat or hazard, assist in restoring basic services and community
 620 functionality, and support the transition to recovery. The Response mission area includes 14 core
 621 capabilities—11 that apply to response and three that are common to all five mission areas. The Goal
 622 assigned specific objectives and performance thresholds for each capability from which metrics will
 623 ultimately be identified to track the Nation’s progress towards achieving these objectives. Table 3
 624 provides a summary of each response core capability and the critical tasks to achieve its objective.

625 **Table 3: Overview of Response Core Capabilities in the National Preparedness Goal**

Row	Core Capabilities and Critical Tasks	
10	1. Planning <i>(Cross-cutting with all mission areas)</i>	Objective: Conduct a systematic process engaging the whole community, as appropriate, in the development of executable strategic, operational, and/or community-based approaches to meet defined objectives.
11	Critical Tasks: <ul style="list-style-type: none"> ▪ Develop operational plans at the Federal level and in the states and territories that adequately identify critical objectives based on the planning requirements, provide a complete and integrated picture of the sequence and scope of the tasks to achieve the objectives, and are implementable within the time frame contemplated in the plan using available resources. 	
12	2. Public Information and Warning <i>(Cross-cutting with all mission areas)</i>	Objective: Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively relay information regarding any threat or hazard and, as appropriate, the actions being taken and the assistance being made available.
13	Critical Tasks: <ul style="list-style-type: none"> ▪ Inform all affected segments of society by all means necessary, including accessible tools, of critical lifesaving and life-sustaining information to expedite the delivery of emergency services and aid the public to take protective actions. ▪ Deliver credible messages to inform ongoing emergency services and the public about protective measures and other life-sustaining actions and facilitate the transition to recovery. 	

Row	Core Capabilities and Critical Tasks	
14	3. Operational Coordination (Cross-cutting with all mission areas)	Objective: Establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of core capabilities.
15	Critical Tasks: <ul style="list-style-type: none"> ▪ Mobilize all critical resources and establish command, control, and coordination structures within the affected community and other coordinating bodies in surrounding communities and across the Nation and maintain, as needed, throughout the duration of an incident. ▪ Enhance and maintain National Incident Management System (NIMS)-compliant command, control, and coordination structures to meet basic human needs, stabilize the incident, and transition to recovery. 	
16	4. Critical Transportation	Objective: Provide transportation (including infrastructure access and accessible transportation services) for response priority objectives, including the evacuation of people and animals, and the delivery of vital response personnel, equipment, and services to the affected areas.
17	Critical Tasks: <ul style="list-style-type: none"> ▪ Establish physical access through appropriate transportation corridors and deliver required resources to save lives and to meet the needs of disaster survivors. ▪ Ensure basic human needs are met, stabilize the incident, transition into recovery for an affected area, and restore basic services and community functionality. 	
18	5. Environmental Response/Health and Safety	Objective: Ensure the availability of guidance and resources to address all hazards, including hazardous materials, acts of terrorism, and natural disasters, in support of the responder operations and the affected communities.
19	Critical Tasks: <ul style="list-style-type: none"> ▪ Conduct health and safety hazard assessments and disseminate guidance and resources, to include deploying hazardous materials teams, to support environmental health and safety actions for response personnel and the affected population. ▪ Assess, monitor, perform cleanup actions, and provide resources to meet resource requirements and to transition from sustained response to short-term recovery. 	
20	6. Fatality Management Services	Objective: Provide fatality management services, including body recovery and victim identification, working with state and local authorities to provide temporary mortuary solutions, sharing information with Mass Care Services for the purpose of reunifying family members and caregivers with missing persons/remains, and providing counseling to the bereaved.
21	Critical Tasks: <ul style="list-style-type: none"> ▪ Establish and maintain operations to recover a significant number of fatalities over a geographically dispersed area. 	

Row	Core Capabilities and Critical Tasks	
22	7. Infrastructure Systems <i>(Cross-cutting with Recovery mission area)</i>	Objective: Stabilize critical infrastructure functions, minimize health and safety threats, and efficiently restore and revitalize systems and services to support a viable, resilient community.
23	Critical Tasks: <ul style="list-style-type: none"> ▪ Decrease and stabilize immediate infrastructure threats to the affected population, to include survivors in the heavily-damaged zone, nearby communities that may be affected by cascading effects, and mass care support facilities and evacuation processing centers with a focus on life-sustainment and congregate care services. ▪ Re-establish critical infrastructure within the affected areas to support ongoing emergency response operations, life sustainment, community functionality, and a transition to recovery. 	
24	8. Mass Care Services	Objective: Provide life-sustaining services to the affected population with a focus on hydration, feeding, and sheltering to those with the most need, as well as support for reunifying families.
25	Critical Tasks: <ul style="list-style-type: none"> ▪ Move and deliver resources and capabilities to meet the needs of disaster survivors, including individuals with access and functional needs and others who may be considered to be at-risk. ▪ Establish, staff, and equip emergency shelters and other temporary housing options (including accessible housing) for the affected population. ▪ Move from congregate care to non-congregate care alternatives, and provide relocation assistance or interim housing solutions for families unable to return to their pre-disaster homes. 	
26	9. Mass Search and Rescue Operations	Objective: Deliver traditional and atypical search and rescue capabilities, including personnel, services, animals, and assets to survivors in need, with the goal of saving the greatest number of endangered lives in the shortest time possible.
27	Critical Tasks: <ul style="list-style-type: none"> ▪ Conduct search and rescue operations to locate and rescue persons in distress, based on the requirements of state and local authorities. ▪ Initiate community-based search and rescue support operations across a wide geographically dispersed area. ▪ Ensure the synchronized deployment of local, regional, national, and international teams to reinforce ongoing search and rescue efforts and transition to recovery. 	
28	10. On-Scene Security and Protection	Objective: Ensure a safe and secure environment through law enforcement and related security and protection operations for people and communities located within affected areas and for all traditional and atypical response personnel engaged in lifesaving and life-sustaining operations.
29	Critical Tasks: <ul style="list-style-type: none"> ▪ Establish a safe and secure environment in an affected area. ▪ Provide and maintain on-scene security and meet the protection needs of the affected population over a geographically dispersed area while eliminating or mitigating the risk of further damage to persons, property, and the environment. 	

Row	Core Capabilities and Critical Tasks	
30	11. Operational Communications	Objective: Ensure the capacity for timely communications in support of security, situational awareness, and operations by any and all means available between affected communities in the impact area and all response forces.
31	Critical Tasks: <ul style="list-style-type: none"> ▪ Ensure the capacity to communicate with both the emergency response community and the affected populations and establish interoperable voice and data communications between local, state, tribal, territorial, and Federal first responders. ▪ Re-establish sufficient communications infrastructure within the affected areas to support ongoing life-sustaining activities, provide basic human needs, and transition to recovery. 	
32	12. Public and Private Services and Resources	Objective: Provide essential public and private services and resources to the affected population and surrounding communities, to include emergency power to critical facilities, fuel support for emergency responders, and access to community staples (e.g., grocery stores, pharmacies, and banks) and fire and other first response services.
33	Critical Tasks: <ul style="list-style-type: none"> ▪ Mobilize and deliver governmental, non-governmental, and private sector resources within and outside of the affected area to save lives, sustain lives, meet basic human needs, stabilize the incident, and transition to recovery, to include moving and delivering resources and services to meet the needs of disaster survivors. ▪ Enhance public and private resource and services support for an affected area. 	
34	13. Public Health and Medical Services	Objective: Provide lifesaving medical treatment via emergency medical services and related operations, and avoid additional disease and injury by providing targeted public health and medical support and products to all people in need within the affected area.
35	Critical Tasks: <ul style="list-style-type: none"> ▪ Deliver medical countermeasures to exposed populations. ▪ Complete triage and initial stabilization of casualties and begin definitive care for those likely to survive their injuries. ▪ Return medical surge resources to pre-incident levels, complete health assessments, and identify recovery processes. 	
36	14. Situational Assessment	Objective: Provide all decisionmakers with decision-relevant information regarding the nature and extent of the hazard, any cascading effects, and the status of the response.
37	Critical Tasks: <ul style="list-style-type: none"> ▪ Deliver information sufficient to inform decisionmaking regarding immediate lifesaving and life-sustaining activities, and engage governmental, private, and civic sector resources within and outside of the affected area to meet basic human needs and stabilize the incident. ▪ Deliver enhanced information to reinforce ongoing lifesaving and life-sustaining activities, and engage governmental, private, and civic sector resources within and outside of the affected area to meet basic human needs, stabilize the incident, and transition to recovery. 	

627 No core capability is the responsibility of any one party or single level of government. Each requires
 628 an approach that integrates the abilities of elements in the whole community from the individual
 629 through the Federal Government, including traditional and non-traditional partners. The Nation must
 630 be prepared to deal not only with the normal type of incidents that communities handle every day,
 631 but also with incidents of catastrophic proportions. Most of the resources and functions provided at
 632 the local level to deliver a given core capability are provided by local government agencies with
 633 additional members of the community assisting as needed. Catastrophic incidents²³ require many
 634 more response assets and engagement with a broader set of partners.²⁴ Community involvement is
 635 vital to providing additional response support. Local residents may well be the primary source of
 636 additional manpower in the first hours and days after a catastrophic incident.

637 **Cross-cutting Response Core Capabilities**

638 Three response core capabilities—*Planning, Public Information and Warning, and Operational*
 639 *Coordination*—span all five mission areas. These common core capabilities are essential to the
 640 success of the other core capabilities. They help establish unity of effort among all those involved in
 641 the Response mission area.

- 642 ▪ **Planning.** Planning makes it possible to manage the life cycle of a potential crisis, determine
 643 capability requirements, and help stakeholders learn their roles. It includes the collection,
 644 analysis, and dissemination of risk assessment data and the development of plans, procedures,
 645 mutual aid and assistance agreements, strategies, and other arrangements to perform specific
 646 missions and tasks. Governments at all levels have a responsibility to develop all-hazards
 647 response plans prior to and during an incident. Including a broad range of partners in the planning
 648 process helps ensure that the needs and potential contributions of all elements are integrated into
 649 workable plans.
- 650 ▪ **Public Information and Warning.** For an effective response, jurisdictions must provide
 651 accurate and accessible information to decision-makers and the public. This includes
 652 development of accessible message content, such as incident facts, health risk warnings, pre-
 653 incident recommendations, evacuation guidance, and other protective measures. It also includes
 654 developing strategies for when, where, how, and by whom information will be delivered and
 655 ensuring that all levels of government agree on unified messages. Information must be shared
 656 with the public and other members of the response community efficiently, effectively, and in an
 657 accessible manner. Effective public information and warning is particularly important in dealing
 658 with incidents that start small but may evolve to have greater consequences.
- 659 ▪ **Operational Coordination.** For incident response, coordination of operations must occur both
 660 among those tasked to deliver the various response core capabilities and with those delivering the
 661 core capabilities of other mission areas. This coordination occurs through response structures
 662 based on clearly established roles, responsibilities, and reporting protocols. Using NIMS
 663 principles, structures, and coordinating processes enhances the efficiency and effectiveness of
 664 response. Specific actions to achieve this core capability may include coordinating initial actions,

²³ A catastrophic incident is defined as any natural or manmade incident, including terrorism, which results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, or government functions.

²⁴ Given the scope and magnitude of a catastrophic incident, waivers, exceptions, and exemptions to policy, regulations, and laws may be available in order to save and sustain life, and to protect property and the environment. However, any such waivers, exceptions, and exemptions must be consistent with laws that preserve human and civil rights and protect individuals with disabilities and others with access and functional needs.

665 managing ESFs, coordinating requests for additional support, and identifying and integrating
666 resources and capabilities.

667 **Integration among Response Core Capabilities and Mission Areas**

668 Interdependencies exist among many of the core capabilities. For example, organizations involved in
669 providing *Mass Care Services* often rely on resources and functions from organizations that provide
670 *Critical Transportation* or *Public and Private Services and Resources* for commodities distribution;
671 *Public Information and Warning* for messaging, translators, and interpreters; and *Operational*
672 *Communications* for reporting and communication that allows shelters to stay in touch with
673 operations centers.

674 The core capabilities in various mission areas may also be linked through shared assets and services.
675 For example, the functionality provided by geographic information systems can be applied across
676 multiple response core capabilities, as well as core capabilities in the other four mission areas. Thus
677 synergy among mission area resources and processes is important to maximize capabilities and
678 minimize risk. The overarching nature of functions described in these capabilities frequently involves
679 either support to or cooperation of several incident management partners to ensure the seamless
680 integration and transitions among prevention, protection, mitigation, response, and recovery
681 activities.

682 Potential points of intersection between the Response mission area and other mission areas include
683 the following:

- 684 ▪ **Prevention.** Many of the assets that are used on a day-to-day basis to perform intelligence, cyber
685 security, law enforcement, homeland security, and homeland defense can be applied to support
686 delivery of response core capabilities such as *On-Scene Security and Protection* and *Public*
687 *Information and Warning*.
- 688 ▪ **Protection.** Protection of critical infrastructure systems and implementation of plans for the rapid
689 restoration of commercial activities and critical infrastructure operations are crucial aspects of the
690 Protection mission area. Many of the 18 critical infrastructure sectors²⁵ within the Protection
691 mission area are also represented in the Response mission area. For example, the *Public and*
692 *Private Services and Resources* capability depends on private sector owners and operators of
693 critical infrastructure for achieving the capability's objective.
- 694 ▪ **Mitigation.** Achieving the mitigation core capability preliminary targets allows for the
695 incorporation of lessons learned in the analysis and planning processes and makes the response
696 core capabilities more resilient and effective.
- 697 ▪ **Recovery.** Even while response activities are underway, recovery operations must begin. The
698 emphasis on response gradually gives way to recovery operations; however, recovery core
699 capabilities may involve some of the same functions as response core capabilities. This includes
700 providing essential public health and safety services, restoring interrupted utility and other
701 essential services, reestablishing transportation routes, providing food and shelter for those
702 displaced by an incident, ensuring equal access, reunifying children who have been displaced
703 from their families/guardians, and reopening schools and child care centers.

704 These overlapping areas are identified through comprehensive planning with the whole community
705 to ensure that they are properly addressed during response to an incident. Ensuring that IOPs
706 properly account for the integration and transition between mission areas is essential.

²⁵ The critical infrastructure sectors are described in the National Infrastructure Protection Plan.

707 *Response Actions to Deliver Core Capabilities*

708 This section describes the key tasks each major element of the whole community must accomplish to
 709 be prepared to deliver the core capabilities. More detailed concepts of operations for the delivery of
 710 the core capabilities are provided in the Federal IOP-Response and operational plans developed by
 711 various jurisdictions, the private sector, and NGOs.

712 **Individuals and Households**

713 Many individuals have talents and experience that can be tapped to support core capabilities.
 714 Individuals can contribute to the delivery of response core capabilities through community
 715 organizations, by participating in community preparedness activities, such as CERT, and by ensuring
 716 that they have household/family emergency plans.²⁶

717 **Private Sector**

718 Roles and responsibilities of private sector entities are described in the Roles and Responsibilities
 719 section. Private sector entities can assist in delivering the response core capabilities by collaborating
 720 with emergency management personnel before an incident occurs to determine what assistance may
 721 be necessary and how they can support local emergency management during response operations.²⁷

722 **Non-governmental Organizations**

723 NGOs manage volunteers and resources that bolster government efforts to ensure a successful
 724 incident response. Collaboration with responders, governments at all levels, and other agencies and
 725 organizations helps NGOs to tailor and direct their efforts that are necessary to accomplish and
 726 deliver the response core capabilities.

727 **State and Local Actions**

728 Communities apply NIMS principles to integrate response plans and resources across jurisdictions
 729 and departments as well as with the private sector and NGOs. Neighboring communities play a key
 730 role by providing support through a network of mutual aid and assistance agreements that identify the
 731 resources that communities may be able to share during an incident.

732 The state is the gateway to many government resources that help communities respond. When an
 733 incident grows or has the potential to grow beyond the capability of a local jurisdiction and
 734 responders cannot meet the needs with mutual aid and assistance resources, local officials contact the
 735 state. Upon receiving a request for assistance from a local government, state officials may:

- 736 ▪ Coordinate warnings and public information through the activation of the state's public
 737 communications strategy
- 738 ▪ Distribute supplies stockpiled to meet the needs of the emergency
- 739 ▪ Provide technical assistance and support to meet the response and recovery needs
- 740 ▪ Suspend or waive statutes, rules, ordinances, and orders, to the extent permitted by law, to ensure
 741 timely performance of response functions
- 742 ▪ Implement state volunteer and donations management plans, and coordinate with the private
 743 sector and NGOs

²⁶ Individual and household preparedness information can be located at <http://www.ready.gov/make-a-plan>.

²⁷ Additional information sharing and collaborative opportunities can be located at FEMA Private Sector Focus <http://www.fema.gov/privatesector/index.shtm>

- 744 ▪ Order or recommend evacuations ensuring the integration and inclusion of the requirements of
745 populations such as: children, individuals with disabilities and others with access and functional
746 needs, diverse communities, people with limited English proficiency, and owners of animals
747 including household pets and service animals
- 748 ▪ Mobilize resources to meet the requirements of individuals with disabilities and others with
749 access and functional needs in compliance with Federal civil rights laws.

750 **State-to-State Assistance**

751 If additional resources are required, states request assistance from other states through interstate
752 mutual aid and assistance agreements such as the EMAC. Administered by the National Emergency
753 Management Association, the EMAC is an interstate mutual aid agreement that streamlines the
754 interstate mutual aid and assistance process.

755 **Federal Actions**

756 In certain circumstances, Federal departments and agencies may provide assistance or even lead
757 response efforts consistent with their own authorities.

758 ***Federal Response and Assistance under the Stafford Act***

759 When an incident is anticipated to exceed state resources or when the Federal Government has
760 unique capabilities needed by states, the governor may request Federal assistance. In such cases, the
761 affected local jurisdiction, territory, tribe, state, insular area, and the Federal Government coordinate
762 to provide the necessary assistance. The Federal Government may provide assistance in the form of
763 funding, resources, and services. Federal departments and agencies respect the sovereignty and
764 responsibilities of local, state, tribal, territorial, and insular area governments while rendering
765 assistance that supports the affected local or state governments.

766 **Robert T. Stafford Disaster Relief and Emergency Assistance Act**

767 Local, state, tribal, territorial, and insular area governments do not require Federal assistance to
768 respond to most incidents; however, when an incident is of such severity and magnitude that
769 effective response is beyond the capabilities of the state and the local governments, the governor can
770 request Federal assistance under the Stafford Act. In certain circumstances, the President may declare
771 an emergency without a request from a governor when the primary responsibility for response rests
772 with the United States because the emergency involves a subject area for which, under the
773 Constitution or laws of the United States, the United States exercises exclusive or preeminent
774 responsibility and authority.

775 The Stafford Act authorizes the President to provide financial and other assistance to local, state,
776 tribal, territorial, and insular area governments, certain private non-profit organizations, and
777 individuals to support response, recovery, and mitigation efforts following a Stafford Act Emergency
778 or Major Disaster Declaration.²⁸ Most forms of Stafford Act assistance require a state cost share.
779 While Federal assistance under the Stafford Act may only be delivered after a declaration, FEMA
780 may pre-deploy Federal assets when a declaration is likely and imminent. The Stafford Act provides
781 for two types of declarations:

- 782 ▪ An **Emergency Declaration** is more limited in scope than a Major Disaster Declaration,
783 provides fewer Federal programs, and is not normally associated with recovery programs.

²⁸ The President has delegated most of his authority under the Stafford Act to the Secretary of Homeland Security, who has in turned delegated those authorities to the FEMA Administrator.

784 However, the President may issue an Emergency Declaration prior to an actual incident to lessen
 785 or avert the threat of a catastrophe. Generally, Federal assistance and funding are provided to
 786 meet specific emergency needs or to help prevent a catastrophe from occurring.

- 787 ▪ A **Major Disaster Declaration** provides more Federal programs for response and recovery than
 788 an Emergency Declaration. Unlike an Emergency Declaration, a Major Disaster Declaration may
 789 only be issued after an incident.

790 **Requesting a Stafford Act Declaration**

791 Before requesting a declaration under the Stafford Act, the governor must take appropriate response
 792 action under state law and direct execution of the state’s emergency plan. Ordinarily, the governor
 793 must ensure certain state and local actions have been taken or initiated, including:

- 794 ▪ Surveying the affected areas to determine the extent of private and public damage
- 795 ▪ Conducting joint preliminary damage assessments with FEMA officials to estimate the types and
 796 extent of Federal disaster assistance required
- 797 ▪ Agreeing to provide, without cost to the Federal Government, easements and rights-of-way
 798 necessary to accomplish the work and to indemnify the Federal Government against any claims
 799 arising from such work when requesting direct Federal assistance
- 800 ▪ Agreeing to pay the state’s cost share.

801 The state’s request for a Stafford Act declaration, addressed to the President, is submitted through the
 802 FEMA Regional Administrator, who evaluates the request and makes a recommendation to the
 803 FEMA Administrator. The FEMA Administrator, in coordination with the Secretary of Homeland
 804 Security, then makes a recommendation to the President. The governor, appropriate members of
 805 Congress, and Federal departments and agencies are immediately notified of a Presidential
 806 declaration.

807 U.S. territories may use the same incident management and response structures and mechanisms as
 808 state governments for requesting and receiving Federal assistance. U.S. territories often pose special
 809 response challenges. Working in partnership with territorial governments, the processes and
 810 structures described in the NRF can be adapted to meet these geographic challenges through
 811 preparedness plans and the pre-staging of assets.

812 Territorial governments may receive federally-coordinated response for U.S. possessions, including
 813 insular areas. The freely associated states of the Federated States of Micronesia and the Republic of
 814 the Marshall Islands²⁹ may also receive assistance. Stafford Act assistance is available to Puerto
 815 Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern
 816 Mariana Islands, which are included in the definition of “state” in the Stafford Act.

817 **Proactive Response to Catastrophic Incidents**

818 Prior to and during catastrophic incidents, especially those that occur with little or no notice, the
 819 Federal Government may mobilize and deploy assets in anticipation of a formal request from the
 820 state. Such deployments of significant Federal assets typically occur in anticipation of or following
 821 catastrophic incidents involving chemical, biological, radiological, nuclear, or high-yield explosive
 822 weapons of mass destruction, large-magnitude earthquakes, or other incidents affecting heavily
 823 populated areas. Proactive efforts are intended to ensure that Federal resources reach the scene in
 824 time to assist in restoring any disruption of normal functions of state and local governments and are

²⁹ Refer to footnote 13 for more information on U.S. possessions and freely associated states.

825 done in coordination and collaboration with state and local governments, private sector entities, and
826 NGOs when possible.

827 ***Federal Response and Assistance Available Without a Stafford Act Declaration***

828 The NRF covers the full range of complex and constantly changing requirements in anticipation of,
829 or in response to, threats or actual incidents, including terrorist attacks and major disasters. In
830 addition to Stafford Act support, the NRF or other supplementary or complementary operational
831 plans may be applied to respond or provide other forms of support.

832 **Federal Departments and Agencies Acting Under Their Own Authorities**

833 Immediate lifesaving assistance to states, as well as other types of assistance, such as wildland
834 firefighting support or response to an agricultural disease incident, are performed by Federal
835 departments or agencies under their own authorities and funding or through reciprocal mutual
836 assistance agreements and do not require a Stafford Act declaration. Some Federal departments or
837 agencies conduct or may lead Federal response actions under their own authorities using funding
838 sources other than the President’s Disaster Relief Fund. For example, specific trust funds are
839 established under Federal environmental laws to support and fund oil and hazardous substances
840 response operations.

841 **Federal-to-Federal Support**

842 Federal departments and agencies may execute interagency or intra-agency reimbursable agreements
843 in accordance with the Economy Act or other applicable authorities. The Financial Management
844 Support Annex³⁰ to the NRF contains information about this process. A Federal department or
845 agency responding to an incident under its own authorities may also request support from DHS in
846 obtaining and coordinating additional Federal assistance. DHS may activate one or more ESFs to
847 provide the requested support.

848 **Coordinating Structures and Integration**

849 Scalable, flexible, and adaptable coordinating structures are essential to align the key roles and
850 responsibilities to deliver the Response mission area’s core capabilities. The flexibility of such
851 structures helps ensure that communities across the country can organize response efforts to address
852 a variety of risks based on their unique needs, capabilities, demographics, governing structures, and
853 non-traditional partners. The NRF is not based on a one-size-fits-all organizational construct, but
854 instead acknowledges the concept of tiered response which emphasizes that response to incidents
855 should be handled at the lowest jurisdictional level capable of handling the mission. These structures
856 can be partially or fully implemented in the context of a threat, in anticipation of a significant event,
857 or in response to an incident. Selective implementation allows for a scaled response, delivery of the
858 exact resources that are needed, and a level of coordination appropriate to each incident.

859 Coordinating structures aid preparedness and response at all levels of government and within the
860 private sector, communities, and non-governmental entities. The structures help organize and
861 measure the whole community’s capabilities in order to address the requirements of the Response
862 mission area, facilitate problem solving, improve access to response resources, and foster
863 coordination prior to and following an incident.

³⁰ Annexes to the NRF are available on the NRF Resource Center (www.fema.gov/nrf).

864 The following section describes the coordinating structures within the Response mission area and
865 explains how they integrate with the coordinating structures that support other mission areas to build
866 preparedness and enhance the Nation’s resilience to all types of risks and hazards.

867 *Local Coordinating Structures*

868 Local jurisdictions and states employ a variety of coordinating structures to help identify risks,
869 establish relationships, organize, and build capabilities. Due to the unique partnerships, geographic
870 conditions, threats, and established capabilities each jurisdiction faces, the coordinating structures at
871 these levels vary. Examples of local response coordinating structures include local planning
872 committees, CERTs, and chapters of national-level associations. These structures organize and
873 integrate their capabilities and resources with neighboring jurisdictions, the state, the private sector,
874 and NGOs. One example of this type of coordinating structure is described below:

- 875 ■ **Citizen Corps Councils** bring together local government, civic, private sector, and NGO leaders
876 to prepare for and respond to incidents. Citizen Corps Councils are typically sponsored by elected
877 or appointed officials and emergency managers. These Councils provide leadership and support
878 for programs that educate, train, and engage community volunteers to support emergency
879 management and responders.

880 *State Coordinating Structures*

881 States also leverage the capabilities and resources of partners across the state when identifying needs
882 and building capabilities. The coordinating structures at the state level also vary depending on factors
883 such as geography, population, industry, and the capabilities of the local jurisdictions within the
884 state. These structures are also designed to leverage appropriate representatives from across the
885 whole community—some of which may also participate in local or regional coordinating structures.
886 Many states create independent committees or councils focused on specific areas or functions as a
887 sub-set of their emergency management agency. For example, some states have Animal Disaster
888 Planning Advisory Committees that provide important input to statewide response plans on animal
889 issues.

890 *Private Sector Coordinating Structures*

891 Business emergency operation centers, industry trade groups, and business sector fusion centers
892 serve as coordinating structures for the private sector. These organizations, comprised of multiple
893 businesses and entities brought together by shared geography or common function (e.g., banking,
894 supply chain management, transportation, venue management), support the collaboration,
895 communication, and sharing of information within the private sector. Such organizations can
896 coordinate with and support NGOs, and in many cases they serve as a conduit to local and state
897 government coordinating structures.

898 *Federal Coordinating Structures*

899 **Emergency Support Functions**

900 The Federal Government and many state governments organize their response resources and
901 capabilities under the ESF construct. ESFs have proven to be an effective way to bundle and manage
902 resources to deliver core capabilities. The Federal ESFs are the primary, but not exclusive, Federal
903 coordinating structures for building, sustaining, and delivering the response core capabilities. The
904 ESFs are vital structures for responding to Stafford Act incidents; however, they may also be used for
905 other incidents. Most Federal ESFs support a number of the response core capabilities. In addition,

906 there are responsibilities and actions associated with Federal ESFs that extend beyond the core
 907 capabilities and support other response activities as well as department and agency responsibilities.

908 The Federal ESFs bring together the capabilities of Federal departments and agencies and other
 909 national-level assets. ESFs are not based on the capabilities of a single department or agency, and the
 910 functions for which they are responsible cannot be accomplished by any single department or agency.
 911 Instead, Federal ESFs are groups of organizations that work together to deliver core capabilities and
 912 support an effective response.

913 As noted above, many state and local jurisdictions have adopted and tailored the ESF construct.
 914 Because state and local jurisdictions establish ESFs based on their specific risks and requirements,
 915 there is no mandatory or direct linkage to the 15 Federal ESFs. State and local governments are
 916 encouraged to engage non-traditional members of the whole community as part of their ESF
 917 processes.

918 Table 4 summarizes the Federal ESFs and indicates the response core capabilities each ESF most
 919 directly supports. All ESFs support the common core capabilities—*Planning, Public Information and*
 920 *Warning, and Operational Coordination*—and many ESFs support more than those that are listed.
 921 Additional detail regarding the Federal ESFs is provided in the ESF Annexes which can be found in
 922 the NRF Resource Center.

923 **Table 4: Emergency Support Functions and ESF Coordinators**

Row	ESF #1—Transportation ESF Coordinator: Department of Transportation
38	Key Response Core Capabilities: Critical Transportation, Mass Search and Rescue Operations, Operational Communications
39	Coordinates the support of management of transportation systems and infrastructure, the regulation of transportation, management of the Nation’s airspace, and ensuring the safety and security of the national transportation system. Functions include but are not limited to: <ul style="list-style-type: none"> ▪ Transportation modes management and control ▪ Transportation safety ▪ Restoration and recovery of transportation infrastructure ▪ Movement restrictions ▪ Damage and impact assessment.
40	ESF #2—Communications ESF Coordinator: DHS/National Communications System
41	Key Response Core Capability: Operational Communications
42	Coordinates the restoration of the critical communications infrastructure, facilitates the recovery of systems and applications from cyber-attacks, and coordinates communications support to response efforts. Functions include but are not limited to: <ul style="list-style-type: none"> ▪ Coordination with telecommunications and information technology industries ▪ Restoration and repair of telecommunications infrastructure ▪ Protection, restoration, and sustainment of national cyber and information technology resources ▪ Oversight of communications within the Federal response structures.

43	ESF #3—Public Works and Engineering ESF Coordinator: Department of Defense/U.S. Army Corps of Engineers
44	Key Response Core Capabilities: Infrastructure Systems, Critical Transportation, Public and Private Services and Resources
45	Coordinates the capabilities and resources to facilitate the delivery of services, technical assistance, engineering expertise, construction management, and other support to prepare for, respond to, and/or recover from a disaster or an incident. Functions include but are not limited to: <ul style="list-style-type: none"> ▪ Infrastructure protection and emergency repair ▪ Infrastructure restoration ▪ Engineering services and construction management ▪ Emergency contracting support for life-saving and life-sustaining services.
46	ESF #4—Firefighting ESF Coordinator: USDA/U.S. Forest Service
47	Key Response Core Capabilities: Critical Transportation, Operational Communications, Public and Private Services and Resources
48	Coordinates the support for the detection and suppression of fires. Functions include but are not limited to: <ul style="list-style-type: none"> ▪ Support to wildland, rural, and urban firefighting operations.
49	ESF #5—Information and Planning ESF Coordinator: DHS/FEMA
50	Key Response Core Capabilities: Situational Assessment, Planning, Operational Coordination
51	Supports and facilitates multiagency planning and coordination for operations involving incidents requiring Federal coordination. Functions include but are not limited to: <ul style="list-style-type: none"> ▪ Incident action planning ▪ Information collection, analysis, and dissemination.
52	ESF #6—Mass Care, Emergency Assistance, Housing, and Human Services ESF Coordinator: DHS/FEMA
53	Key Response Core Capabilities: Mass Care Services, Public and Private Services and Resources, Public Health and Medical Services
54	Coordinates the delivery of mass care, emergency assistance, housing, and human services. Functions include but are not limited to: <ul style="list-style-type: none"> ▪ Mass care ▪ Emergency assistance ▪ Disaster housing ▪ Human services.
55	ESF #7—Logistics ESF Coordinator: General Services Administration and DHS/FEMA
56	Key Response Core Capabilities: Public and Private Services and Resources, Mass Care Services, Critical Transportation
57	Coordinates comprehensive incident resource planning, management, and sustainment capability to meet the needs of disaster survivors and responders. Functions include but are not limited to: <ul style="list-style-type: none"> ▪ Comprehensive, national incident logistics planning, management, and sustainment capability ▪ Resource support (e.g., facility space, office equipment and supplies, contracting services).

58	ESF #8—Public Health and Medical Services ESF Coordinator: Department of Health and Human Services
59	Key Response Core Capabilities: Public Health and Medical Services, Fatality Management Services, Mass Care Services, Critical Transportation
60	Coordinates the mechanisms for assistance in response to an actual or potential public health and medical disaster or incident. Functions include but are not limited to: <ul style="list-style-type: none"> ▪ Public health ▪ Medical surge support including patient movement ▪ Behavioral health services ▪ Mass fatality management.
61	ESF #9—Search and Rescue ESF Coordinator: DHS/FEMA
62	Key Response Core Capability: Mass Search and Rescue Operations
63	Coordinates the rapid deployment of search and rescue resources to provide specialized lifesaving assistance. Functions include but are not limited to: <ul style="list-style-type: none"> ▪ Structural Collapse (Urban) Search and Rescue ▪ Maritime/Coastal/Waterborne Search and Rescue ▪ Land Search and Rescue.
64	ESF #10—Oil and Hazardous Materials Response ESF Coordinator: Environmental Protection Agency
65	Key Response Core Capabilities: Environmental Response/Health and Safety, Critical Transportation, Infrastructure Systems
66	Coordinates support in response to an actual or potential discharge and/or uncontrolled release of oil or hazardous materials. Functions include but are not limited to: <ul style="list-style-type: none"> ▪ Environmental assessment of the nature and extent of oil and hazardous materials contamination ▪ Environmental decontamination and cleanup.
67	ESF #11—Agriculture and Natural Resources ESF Coordinator: Department of Agriculture
68	Key Response Core Capabilities: Environmental Response/Health and Safety, Mass Care Services, Public Health and Medical Services, Critical Transportation
69	Coordinates a variety of functions designed to protect the Nation’s food supply, respond to plant and animal pest and disease outbreaks, and protect cultural resources. Functions include but are not limited to: <ul style="list-style-type: none"> ▪ Nutrition assistance ▪ Animal and plant disease and pest response ▪ Food safety and security ▪ Natural and cultural resources and historic properties protection ▪ Safety and well-being of household pets, service animals, working animals, and livestock.

70	ESF #12—Energy ESF Coordinator: Department of Energy
71	Key Response Core Capabilities: Infrastructure Systems, Operational Communications, Situational Assessment
72	Facilitates the restoration of damaged energy systems and components. Functions include but are not limited to: <ul style="list-style-type: none"> ▪ Energy infrastructure assessment, repair, and restoration ▪ Energy industry utilities coordination ▪ Energy forecast.
73	ESF #13—Public Safety and Security ESF Coordinator: Department of Justice/Bureau of Alcohol, Tobacco, Firearms, and Explosives
74	Key Response Core Capabilities: On-scene Security and Protection, Public and Private Services and Resources
75	Coordinates the integration of public safety and security capabilities and resources to support the full range of incident management activities. Functions include but are not limited to: <ul style="list-style-type: none"> ▪ Facility and resource security ▪ Security planning and technical resource assistance ▪ Public safety and security support ▪ Support to access, traffic, and crowd control.
76	ESF #14—Superseded by National Disaster Recovery Framework
77	To be determined.
78	ESF #15—External Affairs ESF Coordinator: DHS
79	Key Response Core Capabilities: Public Information and Warning, Situational Assessment
80	Coordinates the release of accurate, coordinated, timely, and accessible public information to affected audiences, including the government, media, NGOs, and the private sector. Works closely with state and local officials to ensure outreach to the whole community. Functions include, but are not limited to: <ul style="list-style-type: none"> ▪ Public affairs and the Joint Information Center ▪ Intergovernmental (local, state, tribal, and territorial) affairs ▪ Congressional affairs ▪ Private-sector outreach ▪ Community relations.

924 ***ESF Member Roles and Responsibilities***

925 ESFs are not solely attributed to any one organization, nor are they mechanisms for executing an
926 agency’s statutory authorities. Each ESF is comprised of a department or agency that has been
927 designated as the ESF coordinator along with a number of primary and support agencies. Primary
928 agencies are designated on the basis of their authorities, resources, and capabilities. Support agencies
929 are assigned based on resources or capabilities in a given functional area. To the extent possible,
930 resources provided by the ESFs are identified consistently with NIMS resource-typing categories.

- 931 ▪ **ESF Coordinators.** ESF coordinators oversee the preparedness activities for a particular ESF
932 and coordinate with its primary and support agencies. Responsibilities of the ESF coordinator
933 include:

- 934 • Maintaining contact with ESF primary and support agencies through conference calls,
935 meetings, training activities, and exercises
- 936 • Monitoring the ESF's progress in meeting the targets of the core capabilities it supports
- 937 • Coordinating efforts with corresponding private sector, NGO, and Federal partners
- 938 • Ensuring the ESF is engaged in appropriate planning and preparedness activities.
- 939 ■ **Primary Agencies.** ESF primary agencies have significant authorities, roles, resources, and
940 capabilities for a particular function within an ESF. Primary agencies are responsible for:
 - 941 • Orchestrating support within their functional area for the appropriate response core
942 capabilities and other ESF missions
 - 943 • Notifying and requesting assistance from support agencies
 - 944 • Managing mission assignments (in Stafford Act incidents) and coordinating with support
945 agencies, as well as appropriate state officials, operations centers, and other stakeholders
 - 946 • Coordinating resources resulting from mission assignments
 - 947 • Working with all types of organizations to maximize the use of all available resources
 - 948 • Monitoring progress in achieving core capability targets and other ESF missions, and
949 providing that information as part of situational and periodic readiness or preparedness
950 assessments
 - 951 • Planning for incident management, short-term recovery operations, and the transition to long-
952 term recovery
 - 953 • Maintaining trained personnel to support interagency emergency response and support teams
 - 954 • Identifying new equipment or capabilities required to prevent or respond to new or emerging
955 threats and hazards or to validate and improve capabilities to address changing risks
 - 956 • Promoting physical accessibility, programmatic inclusion, and effective communication for
957 the whole community, including individuals with disabilities.
- 958 ■ **Support Agencies.** ESF support agencies have specific capabilities or resources that support
959 primary agencies in executing the mission of the ESF. Support agencies activities typically
960 include:
 - 961 • Participating in planning for incident management, short-term recovery operations, transition
962 to long-term-recovery, and the development of supporting operational plans, standard
963 operating procedures (SOPs), checklists, or other job aids
 - 964 • Providing input to periodic readiness assessments
 - 965 • Maintaining trained personnel to support interagency emergency response and support teams
 - 966 • Identifying new equipment or capabilities required to respond to new or emerging threats and
967 hazards, or to improve the ability to address existing threats
 - 968 • Coordinating resources resulting from response mission assignments.

969 ***ESF Activation***

970 Departments and agencies supporting Federal ESFs may be selectively activated by FEMA or as
971 directed by the Secretary of Homeland Security to support response activities for both Stafford Act

972 and non-Stafford Act incidents. Not all incidents requiring Federal support result in the activation of
973 ESFs.

974 When departments and agencies supporting Federal ESFs are activated, they may assign staff at
975 headquarters, regional, and incident levels. FEMA may issue mission assignments at all levels to
976 obtain resources and services from Federal departments and agencies across the ESFs.

977 ESFs are the primary, but not exclusive, response coordinating structures at the Federal level for
978 Stafford Act incidents. Communities, states, regions, and other Federal departments and agencies
979 may use the ESF construct, or they may employ other coordinating structures or partners appropriate
980 to their location, threats, or authorities. Whatever structures are used, they are encouraged to work
981 closely with Federal ESFs at the incident, regional, or headquarters levels if they are activated.

982 One example of a unique Federal coordinating structure is described below:

- 983 ▪ **Tribal Assistance Coordination Group (TAC-G).** Governments at the Federal, state, and local
984 levels foster effective government-to-government working relationships with tribes to achieve the
985 common goal of responding to disasters impacting tribal lands. The TAC-G is comprised of
986 multiple Federal organizations who are dedicated to cooperation and collaboration to strengthen
987 emergency management as it relates to the over 560 federally-recognized tribal nations.

988 *Non-Stafford Act Coordinating Structures*

989 Although the Federal ESFs are designed to coordinate Federal response resources for both Stafford
990 Act and non-Stafford Act incidents, the ESFs may not always be the most appropriate response
991 coordinating structures for non-Stafford Act incidents. For incidents in which there is no Stafford
992 declaration, the department or agency with primary legal authority may activate the coordinating
993 structures appropriate to that authority. These structures are generally organized consistently with
994 NIMS concepts and principles. In addition to their own structures, departments or agencies
995 responding under their own legal authorities may request DHS to activate relevant ESFs. Per HSPD-
996 5, the Secretary of Homeland Security coordinates with the head of the department or agency with
997 primary legal authority but retains the authority to activate ESFs or other coordinating structures, as
998 appropriate.

999 *NRF Support Annexes*

1000 The NRF Support Annexes describe other mechanisms by which support is organized among private
1001 sector, NGO, and Federal partners. Federal departments and agencies designated as coordinating and
1002 cooperating agencies in NRF support annexes, conduct a variety of activities to include managing
1003 specific functions and missions and providing Federal support within their functional areas. The
1004 Support Annexes are available at the NRF Resource Center and include:

- 1005 ▪ Critical Infrastructure
- 1006 ▪ Financial Management
- 1007 ▪ International Coordination
- 1008 ▪ Private sector Coordination
- 1009 ▪ Tribal Coordination
- 1010 ▪ Volunteer and Donations Management
- 1011 ▪ Worker Safety and Health.

1012 **NRF Incident Annexes**

1013 NRF Incident Annexes describe coordinating structures, in addition to the ESFs, that may be used to
 1014 deliver core capabilities and support response missions that are unique to a specific type of incident.
 1015 Incident annexes also describe specialized response teams and resources, incident-specific roles and
 1016 responsibilities, and other scenario-specific considerations. The NRF Incident Annexes are available
 1017 on the NRF Resource Center. NRF Incident Annexes address the following contingencies or hazards:

- 1018 ▪ Biological Incident
- 1019 ▪ Catastrophic Incident
- 1020 ▪ Cyber Incident
- 1021 ▪ Food and Agriculture Incident
- 1022 ▪ Mass Evacuation Incident
- 1023 ▪ Nuclear/Radiological Incident
- 1024 ▪ Terrorism Incident Law Enforcement and Investigation.

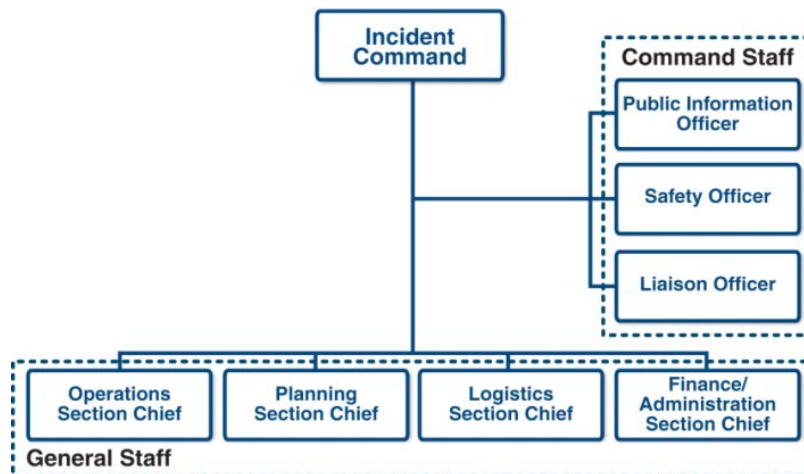
1025 **Operations Coordination**

1026 Response operations involve multiple partners and stakeholders. Operations coordination occurs at
 1027 all government levels and consists of actions and activities that enable decisionmakers to determine
 1028 appropriate courses of action and provide oversight for complex homeland security operations to
 1029 achieve unity of effort and effective outcomes.

1030 **Local Response Operational Structures**

1031 Emergency responders at all levels of government use ICS command and coordinating structures to
 1032 manage response operations (see Figure 2). ICS is a management system designed to integrate
 1033 facilities, equipment, personnel, procedures, and communications within a common organizational
 1034 structure.

1035 At the local level, coordinating structures are usually comprised of entities within a specific
 1036 functional area such as public works, law enforcement, emergency medical services, and fire
 1037 departments. Integration among these structures occurs at an incident command post, which provides
 1038 on-scene incident command and management.



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Figure 2: Incident Command Structure

ICS is widely used by all levels of government, as well as by private sector organizations and NGOs to organize field-level operations for a broad spectrum of incidents. Typically, the incident response is structured to facilitate activities in five areas: command, operations, planning, logistics, and finance/administration.

Emergency personnel may also use the Multiagency Coordination System (MACS). The primary function of MACS, as defined in NIMS, is to coordinate activities above the incident level and to prioritize competing demands for incident resources. MACS consists of personnel, procedures, protocols, facilities, business practices, and communications integrated into a common system. MACS elements at the local level include EOCs and coordination centers.

If the local incident commander determines that additional resources or capabilities are needed, he or she contacts the local EOC and relays requirements to the local emergency manager. Local EOCs are the physical locations where multiagency coordination typically occurs and where a variety of local coordinating structures come together to solve problems. EOCs help form a common operating picture of the incident, relieve on-scene command of the burden of external coordination, and secure additional resources to help meet response requirements.

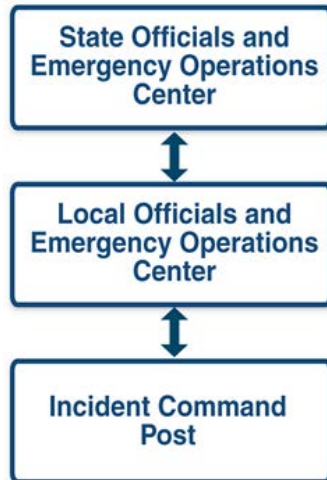
EOCs at all levels of government may also encourage participation by the private sector, NGOs, academia, associations, racial and ethnic organizations, and access and functional needs subject matter experts. These members of the whole community, in turn, often maintain their own structures, such as non-governmental or private sector EOCs.

State Response Operational Structures

The local incident command structure directs on-scene incident management activities and maintains command and control of on-scene incident operations. State EOCs are activated as necessary to support local EOCs and to ensure that responders have the resources they need to conduct response activities. This is achieved through integration of state-level coordinating structures working with local coordinating structures or the local incident command structure.

State Emergency Operations Center

State EOCs are the physical location where multiagency coordination occurs through state-level coordinating structures. Every state maintains an EOC to manage incidents requiring state-level assistance (see Figure 3). Some states have additional EOCs for coordinating information and resources within a region or area.



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Figure 3: State and Local Response Structure

1074 State EOCs are typically organized by a combination of ESFs or other coordinating structures
 1075 aligned to disciplines or capabilities. Many states involve their tribal counterparts within the EOC to
 1076 ensure that tribal coordinating structures are integrated into the delivery of capabilities and that tribal
 1077 needs are addressed.

1078 Federal Response Operational Structures

1079 When an incident occurs that exceeds, or is anticipated to exceed, local or state resources—or when
 1080 an incident is managed by Federal departments or agencies acting under their own authorities—the
 1081 Federal Government may use the management structures described within the NRF. Additionally, the
 1082 Federal Government may utilize supplementary or complementary plans to involve all necessary
 1083 department and agency resources to organize the Federal response and ensure coordination among all
 1084 response partners.

1085 All Federal departments and agencies may play significant roles in response activities depending on
 1086 the nature and size of an incident. Many of the arrangements by which departments and agencies
 1087 participate are defined in the ESF Annexes, coordinated through pre-scripted mission assignments in
 1088 a Stafford Act response, formalized in interagency agreements or described in NRF supplementary
 1089 plans.

1090 Unity of effort differs from unity of command. Various Federal departments and agencies may have
 1091 statutory responsibilities and lead roles based upon the unique circumstances of the incident. Unity of
 1092 effort provides coordination through cooperation and common interests and does not interfere with
 1093 Federal departments' and agencies' supervisory, command, or statutory authorities. The Secretary
 1094 ensures that overall Federal actions are unified, complete, and synchronized to prevent unfilled gaps
 1095 or seams in the Federal Government's overarching effort. This coordinated approach ensures that the
 1096 Federal actions undertaken by DHS and other departments and agencies are harmonized and
 1097 mutually supportive. The Secretary executes these coordination responsibilities, in part, by engaging
 1098 directly with the President and relevant cabinet, department, agency, and DHS component heads as
 1099 necessary to ensure a focused, efficient, and unified Federal preparedness posture. All Federal
 1100 departments and agencies, in turn, cooperate with the Secretary in executing domestic incident
 1101 management duties.

1102 The following sections describe Federal support operations at the incident, regional, and headquarters
1103 levels.

1104 **Federal Incident-Level Operations**

1105 To help deliver Federal support or response at the incident level, coordinating structures are aligned
1106 to incident-level structures. The following section describes the Federal coordinating structures
1107 typically associated with Stafford Act incidents that can also be used for Federal-to-Federal support
1108 or other non-Stafford Act threats or incidents such as a NSSE.

1109 ***Unified Coordination (UC)***

1110 UC is the term used to describe the primary state/Federal incident management activities conducted
1111 at the incident level. UC is typically directed from a JFO, a temporary Federal facility that provides a
1112 central location for coordination of response efforts by the private sector, NGOs, and all levels of
1113 government. UC is organized, staffed, and managed in a manner consistent with NIMS principles
1114 using the NIMS/ICS structure. A Unified Coordination Group (UCG) comprised of senior officials
1115 from the state and key Federal departments or agencies leads UC. The UCG is supported by a
1116 Unified Coordination Staff (UCS). Personnel from state and Federal departments and agencies, other
1117 jurisdictional entities, the private sector, and NGOs may be assigned to the UCS at various incident
1118 facilities (e.g., JFO, staging areas, and other field offices). The UCG determines staffing of the UCS
1119 based incident requirements.

1120 Although UC is based on the ICS structure, it does not manage on-scene operations. Instead, it
1121 focuses on providing support to on-scene response efforts and conducting broader support operations
1122 that may extend beyond the incident site. UC must include robust operations, planning, public
1123 information, and logistics capabilities that integrate local, state, and Federal—as well as tribal,
1124 territorial, and insular area—personnel when appropriate, so that all levels of government work
1125 together to achieve unity of effort.

1126 When incidents affect multiple localities and states or the entire Nation, multiple UCGs with
1127 associated UCS may be established. In these situations, coordination occurs according to the
1128 principles of area command as described in NIMS.

1129 As the primary field entity for Federal response, UC integrates diverse Federal authorities and
1130 capabilities and coordinates Federal response and recovery operations. Figure 4 represents an
1131 overview of the UC organization and its key components.

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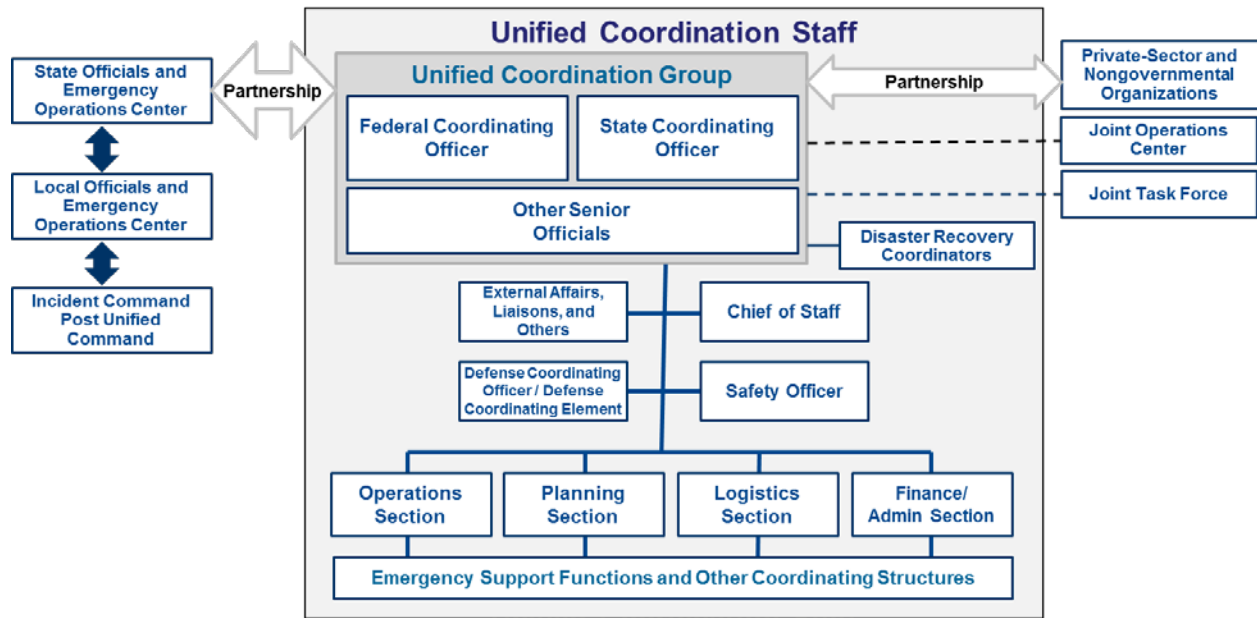


Figure 4: Unified Coordination

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1135 **Federal Incident-level Operations for Non-Stafford Act Incidents**

1136 UC is the primary, but not the only, incident-level structure for coordinating Federal response and
 1137 assistance particularly for non-Stafford Act incidents. The response structures used in response to a
 1138 Stafford Act incident may not be applicable during non-Stafford Act Federal incidents coordinated
 1139 by the Secretary of Homeland Security. For non-Stafford Act incidents, the department or agency
 1140 with primary legal jurisdiction activates the response structures appropriate to its authorities; these
 1141 structures are generally organized based on NIMS concepts and principles. When coordinating under
 1142 HSPD-5, the Secretary coordinates with the head of the department or agency with primary legal
 1143 jurisdiction but retains the authority to activate the additional response structures the Secretary
 1144 determines appropriate.

1145 ***Federal Incident Command/Area Command in Non-Stafford Act Incidents***

1146 In non-Stafford Act incidents, Federal agencies who have responsibility for on-scene, tactical-level
 1147 operations may establish incident command and area command structures, or coordinate with state
 1148 and local agencies to form unified incident command and unified area command structures.

1149 **Federal Regional Operational Support**

1150 Coordinating structures can be assembled and organized at the regional level to address incidents that
 1151 cross state borders or have broad geographic or system-wide implications or to manage competing
 1152 requirements for response assets among multiple incidents.

1153 ***Federal Regional Facilities***

1154 Most Federal departments and agencies have regional or field offices that may participate with state
 1155 and local governments in planning for incidents and provide initial response assets when an incident
 1156 occurs. Some Federal departments and agencies share the same standard Federal regional structure as
 1157 FEMA.

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- **FEMA Regional Response Coordination Center (RRCC).** FEMA has 10 regional offices, each headed by a Regional Administrator (see Figure 5). Each of FEMA’s regional offices maintains an RRCC. When activated, RRCCs are multi-agency coordination centers generally staffed by ESFs in anticipation of a serious incident or immediately following an incident. Operating under the direction of the FEMA Regional Administrator, the staff within the RRCCs coordinates Federal regional response efforts and maintains connectivity with FEMA Headquarters and with state EOCs, state and major urban area fusion centers, Federal Executive Boards, and other Federal and state operations and coordination centers that potentially contribute to the development of situational awareness. The UCG assumes responsibility for coordinating Federal response activities at the incident level once UC is established freeing the RRCC to deal with new incidents should they occur.



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Figure 5: FEMA Regions

1171 Federal Headquarters Operational Support

1172 Coordinating structures are assembled and organized at the headquarters level, particularly to address
 1173 incidents that cross regional borders or have broad geographic or system-wide implications.

1174 Federal Operations Centers

1175 Most cabinet-level departments and agencies have at least one headquarters-level operations center.
 1176 A wide range of such centers maintain situational awareness within their functional areas and provide
 1177 relevant information to the National Operations Center (NOC). These operations centers may also
 1178 coordinate ESF activities, communicate with other Federal operations centers, and communicate with
 1179 their local, state, tribal, territorial, and insular area counterparts. Examples of Federal Operations
 1180 Centers include:

- 1181 ▪ **National Operations Center (NOC).** The NOC is the principal operations center for DHS
 1182 consisting of a NOC Watch, Intelligence Watch and Warning, FEMA National Watch Center and
 1183 National Response Coordination Center, and the National Infrastructure Coordinating Center. In
 1184 the event of a natural disaster, act of terrorism, or other man-made disaster the NOC provides

1185 situational awareness and a common operating picture for the entire Federal Government, and for
1186 local, state, tribal, territorial, and insular area governments as appropriate. The NOC also ensures
1187 that critical terrorism and disaster-related information reaches government decision-makers. This
1188 is achieved through the coordination and integration of information from the NOC as well as the
1189 National Cybersecurity and Communications Integration Center and other Federal operations
1190 centers. Additionally, the NOC serves as the national fusion center, collecting and synthesizing
1191 all-source information, including information from the state fusion centers, for all threats and all
1192 hazards covering the homeland security enterprise across the spectrum of prevent, protect,
1193 mitigate, respond, and recover.

- 1194 ■ **National Response Coordination Center (NRCC).** The NRCC is a multiagency center located
1195 at FEMA Headquarters. Its staff coordinates the overall Federal support for major disasters and
1196 emergencies, including catastrophic incidents and emergency management program
1197 implementation. FEMA maintains the NRCC as a functional component of the National
1198 Operations Center for incident support operations.
- 1199 ■ **Other DHS Operations Centers.** Depending on the type of incident, the operations centers of
1200 other DHS operating components may serve as the primary operations management center in
1201 support of the Secretary. These are the U.S. Coast Guard, Transportation Security
1202 Administration, U.S. Secret Service, and U.S. Customs and Border Protection operations centers.
- 1203 ■ **National Military Command Center (NMCC).** DOD’s NMCC is the Nation’s focal point for
1204 continuous monitoring and coordination of worldwide military operations. It directly supports
1205 combatant commanders, the Chairman of the Joint Chiefs of Staff, the Secretary of Defense, and
1206 the President in the command of U.S. Armed Forces in peacetime contingencies and war. The
1207 NMCC participates in a wide variety of activities, ranging from missile warning and attack
1208 assessment to management of peacetime operations such as Defense Support of Civil Authorities
1209 during national emergencies.
- 1210 ■ **Strategic Information and Operations Center (SIOC).** The FBI SIOC is the focal point and
1211 operational control center for all Federal intelligence, law enforcement, and investigative law
1212 enforcement activities related to domestic terrorist incidents or credible threats, including leading
1213 attribution investigations.

1214 The specific structures that are activated for any given incident depend on the levels of government
1215 involved, as well as the legal authorities under which the response is being conducted.

1216 *Integration*

1217 Effective emergency response requires the ability for the response coordinating structures to link to
1218 and share information with the coordinating structures in the other mission areas. For example, in the
1219 wake of a terrorist attack that results in the need for a coordinated Federal response, Response
1220 mission area coordinating structures must work closely with those in the Prevention, Protection, and
1221 Recovery mission areas. Prevention and protection activities continue after an attack to prevent and
1222 protect from follow-on attacks. This requires close coordination of prevention and protection
1223 activities with response and recovery efforts. Integration of response mission activities with
1224 protection efforts may also occur in the context of a credible threat. Following determination of such
1225 a threat, Protection mission area organizations may switch to an enhanced steady-state posture. At
1226 that time, Response mission area assets may need to be positioned to respond quickly should
1227 protection and prevention efforts fail. Establishing close working relationships, lines of
1228 communication, and coordination protocols between protection, prevention, response, and recovery
1229 organizations facilitates this process.

1230 Examples of Response mission area coordinating structures cooperating with Protection mission area
1231 assets include the following:

- 1232 ▪ Sharing threat information including issuing watches, warnings, and other emergency bulletins
- 1233 ▪ Coordinating with Protection mission area structures in the wake of an incident to ensure that
1234 communities and emergency responders have the protection needed to perform their jobs
- 1235 ▪ Coordinating anticipatory Response mission area activities with the mitigation and recovery
1236 mission activities.

1237 Although they are generally considered to be prevention or protection focused organizations, the
1238 various state and major urban area fusion centers are examples of coordinating structures whose
1239 utility spans mission areas. The collection, analysis, and dissemination of information by the fusion
1240 centers can inform response activities through information sharing and operational coordination
1241 efforts.

1242 Because of the natural relationship between response and recovery efforts and the fact that response
1243 and recovery activities often occur simultaneously, the responsibilities of some ESFs overlap with or
1244 transition to the responsibilities of Recovery Support Functions (RSFs), the Recovery mission area
1245 coordinating structures defined in the National Disaster Recovery Framework. The RSFs frequently
1246 build on the ESF resources and short-term recovery efforts applied by the ESFs to meet basic human
1247 needs to integrate short-term recovery efforts with intermediate and long-term recovery needs. The
1248 relationships and integration between the ESFs and the coordinating structures of other mission areas
1249 are detailed in the Federal IOPs.

1250 Relationship to Other Mission Areas

1251 All five mission areas integrate with each other through interdependencies, shared assets, and
1252 overlapping objectives. These overlapping areas are identified through comprehensive planning with
1253 the whole community to ensure that they are addressed during response to an incident.

1254 The Response mission area integrates with the other four mission areas in the following manner:

- 1255 ▪ **Prevention.** Response organizations coordinate with those responsible for preventing acts of
1256 terrorism to understand potential and specific threats and to prepare accordingly by planning for
1257 general threats and through crisis action planning for credible threats. Response mission area
1258 capabilities must be available in case efforts to prevent terrorist attacks fail or credible threat are
1259 identified. Coordinating with prevention officials aids response officials in understanding the
1260 extraordinary response capabilities that terrorist attacks may require. When response activities
1261 are occurring, whether due to a terrorist attack or another type of incident, prevention activities
1262 continue.
- 1263 ▪ **Protection.** Efforts to protect people and communities as well as vital facilities, systems, and
1264 resources are inextricably linked to response efforts. Responders that support the Protection and
1265 Recovery mission areas include many of the same people and organizations. Protection activities
1266 occur before, during, and after incidents. In the aftermath of an incident, a physically secure
1267 environment should be established before Response mission area organizations can deliver
1268 essential response capabilities.
- 1269 ▪ **Mitigation.** Reducing risk through hazard mitigation reduces requirements for response
1270 capabilities. Mitigation organizations often have special insight into risks and hazards that can be
1271 shared with response personnel to improve response planning and execution.

- 1272 ▪ **Recovery.** As with Protection, the Response and Recovery mission areas include some of the
1273 same people and organizations. Communities should build general recovery plans before an
1274 incident occurs. After an incident, recovery efforts must begin as soon as possible, often while
1275 response capabilities are still being applied.

1276 **Operational Planning**

1277 Planning across the full range of homeland security operations is an inherent responsibility of every
1278 level of government. This NRF fosters unity of effort for emergency operations planning by
1279 providing common doctrine and purpose.

1280 A plan is a continuous, evolving instrument of anticipated actions that maximizes opportunities and
1281 guides response operations. Since planning is an ongoing process, a plan is a product based on
1282 information and understanding at the moment and is subject to revision.

1283 Operational planning is conducted across the whole community, including the private sector and non-
1284 governmental organizations and all levels of government. Comprehensive Preparedness Guide (CPG)
1285 101 provides further information on the various types of plans and guidance on the fundamentals of
1286 planning.

1287 From the Federal perspective, integrated planning helps explain how Federal departments and
1288 agencies and other national-level whole community partners provide the right resources at the right
1289 time to support local, state, tribal, territorial, and insular area response operations. From their
1290 perspectives, integrated planning provides answers to questions about which traditional and non-
1291 traditional partners can provide the necessary resources.

1292 The following section outlines how operational planning is applied within the Response mission area
1293 and provides guidance for the development of the Federal IOP-Response.

1294 *Response Operational Planning*

1295 **Federal Planning**

1296 At the Federal level, the NRF is supported by the Federal IOP-Response. The concepts in the NRF
1297 and NIMS guide Federal operational response planning and development of the IOP-Response which
1298 provides further information regarding roles and responsibilities, identifies the critical tasks an entity
1299 will take in executing core capabilities, and identifies resourcing and sourcing requirements.

1300 The IOP-Response further defines the concepts, principles, structures, and actions introduced in this
1301 Framework with a specific focus on these elements at the Federal level. It addresses
1302 interdependencies and integration with the other mission areas throughout the plan's concept of
1303 operations. It also describes the management of concurrent actions and coordination points with the
1304 areas of prevention, protection, mitigation, and recovery.

1305 The IOP-Response takes an all-hazards approach to preparedness, highlights key areas of
1306 interoperability across the five mission areas, and addresses the whole community to optimize
1307 resources. The concept of operations in the IOP-Response is based on a no-notice catastrophic
1308 incident that spans multiple regions and states and assumes hundreds of thousands of casualties,
1309 severe damage to critical infrastructure, and limited ingress and egress due to massive damage to
1310 transportation systems. Such an incident would have significant ramifications on the political,
1311 economic, social, environmental, logistical, technical, legal, and administrative structures and would
1312 overwhelm local, state, tribal, territorial, and insular area response capabilities.

1313 While the planning factors used for the Federal IOP-Response suggest an incident that will result in a
1314 Stafford Act declaration, the plan also addresses the unique responsibility of certain Federal
1315 departments and agencies to lead elements of a response under their own authorities. This
1316 information is primarily contained in supplemental incident annexes for Stafford Act and non-
1317 Stafford Act scenarios.

1318 The Federal IOP-Response contains:

- 1319 ▪ A detailed concept of operations
- 1320 ▪ A description of critical tasks and responsibilities
- 1321 ▪ Detailed resourcing, personnel, and sourcing requirements
- 1322 ▪ Specific provisions for the rapid integration of resources and personnel to incidents caused by
1323 any of the hazards/threats to which the whole community is particularly vulnerable
- 1324 ▪ Functional and incident-specific annexes as necessary.

1325 It does not contain detailed descriptions of specific department or agency functions as such
1326 information is located in department or agency-level operational plans.

1327 The NRF is based on the concept of tiered response with an understanding that most incidents start at
1328 the local level, and as needs exceed resources and capabilities, additional local, state, and Federal
1329 assets are applied. The Federal IOP-Response, therefore, is intended to align with other local, state,
1330 tribal, territorial, insular area, and Federal plans to ensure that all response partners share a common
1331 operational focus. Similarly, integration occurs at the Federal level among the departments, agencies,
1332 and non-governmental partners that comprise the respective mission area through the frameworks,
1333 Federal IOPs, and departmental and agency operations plans.

1334 In developing the Federal IOP-Response, the following planning needs are taken into account:

- 1335 ▪ Food and water
- 1336 ▪ Evacuation and sheltering
- 1337 ▪ Accessible transportation
- 1338 ▪ Medical surge, medical countermeasures, and treatment capability
- 1339 ▪ General and medical supplies and durable medical equipment
- 1340 ▪ Emotional, behavioral, and mental health needs
- 1341 ▪ Reunification and safety of unaccompanied minors
- 1342 ▪ Guardianship
- 1343 ▪ Accessible communications
- 1344 ▪ Animal emergency management needs.

1345 *Planning Assumptions*

1346 The detailed planning factors for the Federal IOP-Response focus on the impacts associated with a
1347 large-scale emergency or disaster which could occur anywhere within the continental United States,
1348 its territories, or insular areas and results in a substantial number of fatalities and injuries, widespread
1349 property loss, and disruption of essential services across a large geographic area. Such an occurrence
1350 has significant ramifications on the political, economic, social, environmental, logistical, technical,

1351 legal, and administrative structures within the impacted area and may overwhelm governmental
1352 response capabilities.

1353 The plan addresses the potential, unique requirements and needs of all members of the whole
1354 community. While the Federal IOP-Response contains assumptions for each of the response core
1355 capabilities, some of the overarching assumptions include the following:

- 1356 ▪ A catastrophic incident or attack will occur with little or no warning.
- 1357 ▪ Incidents are typically managed at the lowest possible geographic, organizational, and
1358 jurisdictional level.
- 1359 ▪ Incident management activities will be initiated and conducted using the principles contained in
1360 NIMS.
- 1361 ▪ The combined expertise and capabilities of government at all levels, the private sector, and non-
1362 governmental organizations will be required to respond to a catastrophic incident.

1363 **Framework Application**

1364 Implementation of the concepts within the NRF and Federal IOP-Response is mandatory for Federal
1365 departments and agencies. While the NRF does not direct the actions of other response elements, the
1366 guidance contained in the NRF and the Federal IOP-Response is intended to inform local, state,
1367 tribal, territorial, and insular area governments as well as NGOs and the private sector regarding how
1368 the Federal Government responds to incidents. These partners can use this information to inform
1369 their planning and ensure that assumptions regarding Federal assistance and response and the manner
1370 in which Federal support will be provided are accurate.

1371 **Supporting Resources**

1372 To assist NRF users, FEMA maintains the NRF Resource Center (<http://www.fema.gov/NRF>), an
1373 online repository that contains electronic versions of the current NRF documents—base document,
1374 ESF Annexes, Support Annexes, and Incident Annexes—as well as other supporting materials. The
1375 NRF Resource Center provides information, training materials, and other tools, such as an overview
1376 of the main Stafford Act provisions, a guide to authorities and references, and an acronym list to
1377 assist response partners in understanding and executing their roles under the NRF.

1378 Resource Center materials are regularly evaluated, updated, and augmented as necessary. Additional
1379 content may be added or modified at the request of Response mission area partners and other users.

1380 **Conclusion**

1381 The NRF is one element of the National Preparedness System mandated by PPD-8. The NRF
1382 describes how the Nation prepares to deliver the core capabilities established in the National
1383 Preparedness Goal for the Response mission area. The other mission areas defined by PPD-8 have
1384 corresponding frameworks that explain how the core capabilities established for those mission areas
1385 are delivered. All of the frameworks address how structures created to coordinate their core
1386 capabilities ensure integration and interoperability with the structures and core capabilities of the
1387 other mission areas.

1388 The NRF is a living document; it will be regularly reviewed to evaluate consistency with existing and
1389 new policies, evolving conditions, and the experience gained from its use. The first review will be
1390 completed no later than 18 months after publication of the NRF and then every four years, or more

1391 frequently as determined by the Secretary of Homeland Security. FEMA is the executive agent for
1392 management and maintenance of the NRF and coordinates this work closely with the Office of the
1393 Secretary of Homeland Security. FEMA is responsible for coordinating proposed modifications to
1394 the NRF with all appropriate stakeholders. The Secretary of Homeland Security is the final approver
1395 of changes to the NRF and its annexes.

1396 The reviews will consider lessons learned and best practices identified during exercises and
1397 responses to actual incidents as well as pertinent new technologies. Updates to the NRF Annexes
1398 may occur independently from reviews of the base document.

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