



Federal Response Plan Basic Plan

I. Introduction

A. Purpose

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

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

B. Scope

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

2. The FRP covers the full range of complex and constantly changing requirements following a disaster: saving lives, protecting property, and meeting basic human needs (response); restoring the disaster-affected area (recovery); and reducing vulnerability to future disasters (mitigation). The FRP does not specifically address long-term reconstruction and redevelopment.
3. The FRP applies to all signatory Federal departments and independent agencies that may be tasked to provide assistance in a major disaster or emergency. Additionally, the American Red Cross functions as a Federal agency in coordinating the use of Federal mass care resources in a presidentially declared disaster or emergency. For purposes of the FRP, any reference to Federal agencies with respect to their responsibilities and activities in responding to a disaster generally means Federal departments and agencies, as well as the American Red Cross.
4. Under the FRP, a State means any State of the United States, the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands.
5. Relationships with any federally recognized American Indian or Alaska Native Tribe are on a government-to-government basis. Federal agencies acknowledge the importance of an interagency/intergovernmental/tribal partnership to improve access to disaster assistance. Although a State Governor must request a Presidential disaster declaration on behalf of a tribe under the Stafford Act, Federal agencies subsequently can work directly with the tribe, within existing authorities and resources, to tailor disaster programs to its unique needs.

C. National Disaster Response Framework

1. The combined emergency management authorities, policies, procedures, and resources of Federal, State, and local governments as well as voluntary disaster relief organizations, the private sector, and international sources constitute a national disaster response framework for providing assistance following a major disaster or emergency. This framework is illustrated in **Figure 1**.
2. Within this framework, the Federal Government can provide personnel, equipment, supplies, facilities, and managerial, technical, and advisory services in support of State and local disaster assistance efforts. Various Federal statutory authorities and policies establish the basis for providing these resources. (The Department of Homeland Security (DHS) has compiled a separate compendium of Legal Authorities Supporting the Federal Response Plan that lists emergency response and recovery-related directives, together with a summary interpretation of each legal citation.)



Figure 1 — National Disaster Response Framework

3. Under the Stafford Act and Executive Orders 12148, Federal Emergency Management, and 12656, Assignment of Emergency Preparedness Responsibilities, DHS has been delegated primary responsibility for coordinating Federal emergency preparedness, planning, management, and disaster assistance functions. DHS also has been delegated responsibility for establishing Federal disaster assistance policy. In this stewardship role, DHS has the lead in developing and maintaining the FRP.
4. The FRP describes the structure for organizing, coordinating, and mobilizing Federal resources to augment State and local response efforts under the Stafford Act and its implementing regulations that appear in 44 Code of Federal Regulations (CFR) 206. The FRP also may be used in conjunction with Federal agency emergency operations plans developed under other statutory authorities as well as memorandums of understanding (MOUs) among various Federal agencies.
5. In particular, the FRP may be implemented concurrently with the:
 - a. National Plan for Telecommunications Support in Non-Wartime Emergencies, which provides a basis for ESF #2 — Communications;
 - b. National Oil and Hazardous Substances Pollution Contingency Plan, known as the National Contingency Plan (NCP), which provides the basis for ESF #10 — Hazardous Materials operations; and/or
 - c. Federal Radiological Emergency Response Plan (FRERP), which details the Federal response to a peacetime radiological emergency.
6. The FRP also may be implemented in response to the consequences of terrorism, in accordance with Presidential Decision Directive (PDD)-39 and PDD-62 that set forth U.S. counterterrorism policies. The FRP Terrorism Incident Annex describes the concept of operations for a unified response to a terrorism incident involving two

or more of the following plans: the FRP, the Federal Bureau of Investigation (FBI) Weapons of Mass Destruction (WMD) Incident Contingency Plan, the Department of Health and Human Services (HHS) Health and Medical Services Support Plan for the Federal Response to Acts of Chemical/Biological Terrorism, the NCP, and the FRERP.

7. The FRP is implemented through regional supplements developed by DHS and other Federal agency regional offices describing specific actions, operating locations, and relationships to address the unique needs of the region and States within the region. From time to time, an operations supplement to the FRP may be issued to address special events that merit advanced planning, such as the Olympics or Presidential inaugurations.
8. The FRP is further implemented through various operations manuals, field operations guides, and job aids that detail specific agency actions to be taken.
9. States, along with their local jurisdictions, have their own emergency operations plans describing who will do what, when, and with what resources. In addition, many voluntary, private, and international organizations have emergency or contingency plans. These planning relationships are shown in **Figure 2**.

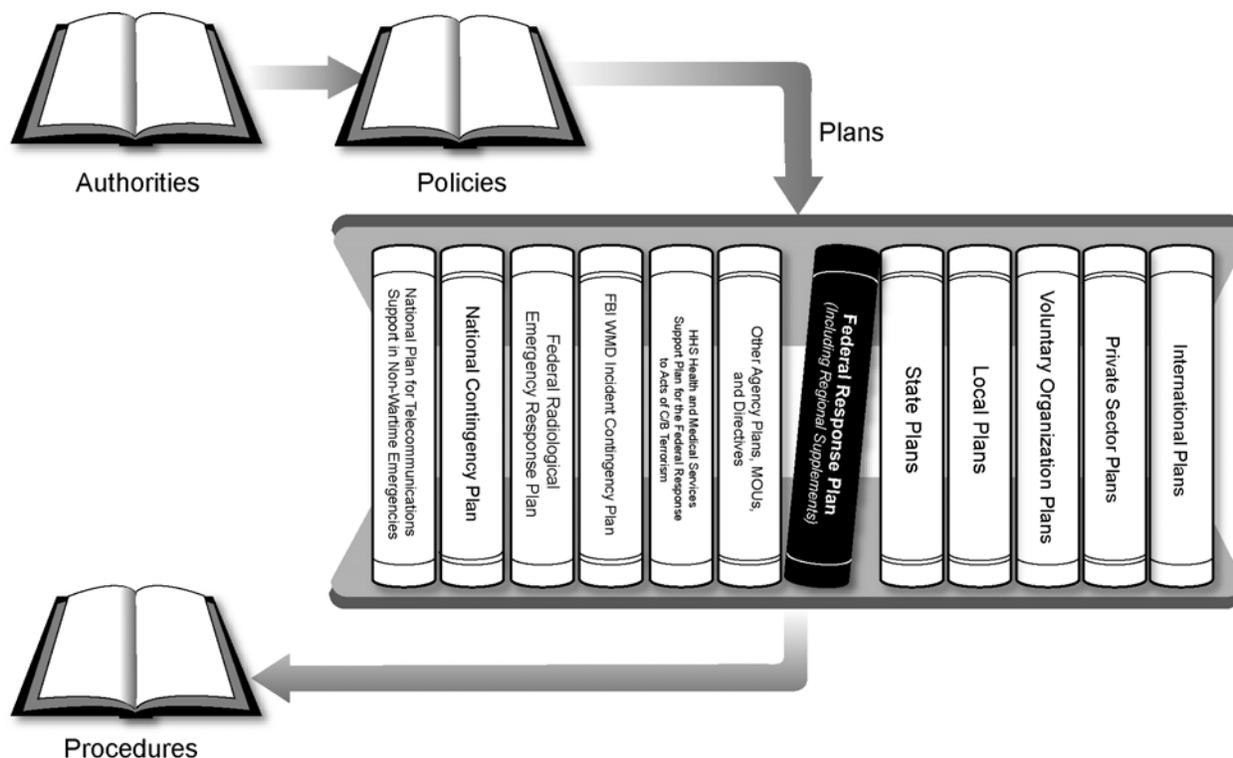


Figure 2 — Emergency Planning Relationships

10. Although the FRP focuses primarily on operational planning specific to an incident, other types of planning also are critical to ensuring effective disaster operations. Preincident planning at all levels of government is used to identify operating facilities and resources that might be needed in response and recovery. Action planning, conducted throughout a disaster, establishes priorities with tactical objectives for the next operational period. Contingency planning assists in targeting a specific issue or event arising during a disaster and presents alternative actions to respond to the situation. Strategic planning is used to identify long-term issues such as the impact of forecasts and problems such as permanent housing for displaced disaster victims. It also can serve as a blueprint for rebuilding after a disaster.

D. Organization of the FRP

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

1. The **Basic Plan** presents the policies and concept of operations that guide how the Federal Government will assist disaster-stricken State and local governments. It also summarizes Federal planning assumptions, response and recovery actions, and responsibilities.
2. **Emergency Support Function Annexes** describe the mission, policies, concept of operations, and responsibilities of the primary and support agencies involved in the implementation of key response functions that supplement State and local activities. ESFs include Transportation, Communications, Public Works and Engineering, Firefighting, Information and Planning, Mass Care, Resource Support, Health and Medical Services, Urban Search and Rescue, Hazardous Materials, Food, and Energy.
3. The **Recovery Function Annex** describes the policies, planning considerations, and concept of operations that guide the provision of assistance to help disaster victims and affected communities return to normal and minimize the risk of future damage. Assistance is categorized by delivery system — either to individuals, families, and businesses or to State and local governments.
4. **Support Annexes** describe the mission, policies, and concept of operations of related activities required to conduct overall Federal disaster operations, including Community Relations, Congressional Affairs, Donations Management, Financial Management, Logistics Management, Occupational Safety and Health, and Public Affairs.
5. **Incident Annexes** describe the mission, policies, concept of operations, and responsibilities in those specific events that require a unified response under the FRP and one or more other Federal plans that implement authorities and functions outside the scope of the Stafford Act.
6. **Appendices** cover other relevant information, including terms and definitions, acronyms and abbreviations, guidelines for FRP changes and revisions, and overview of a disaster operation.

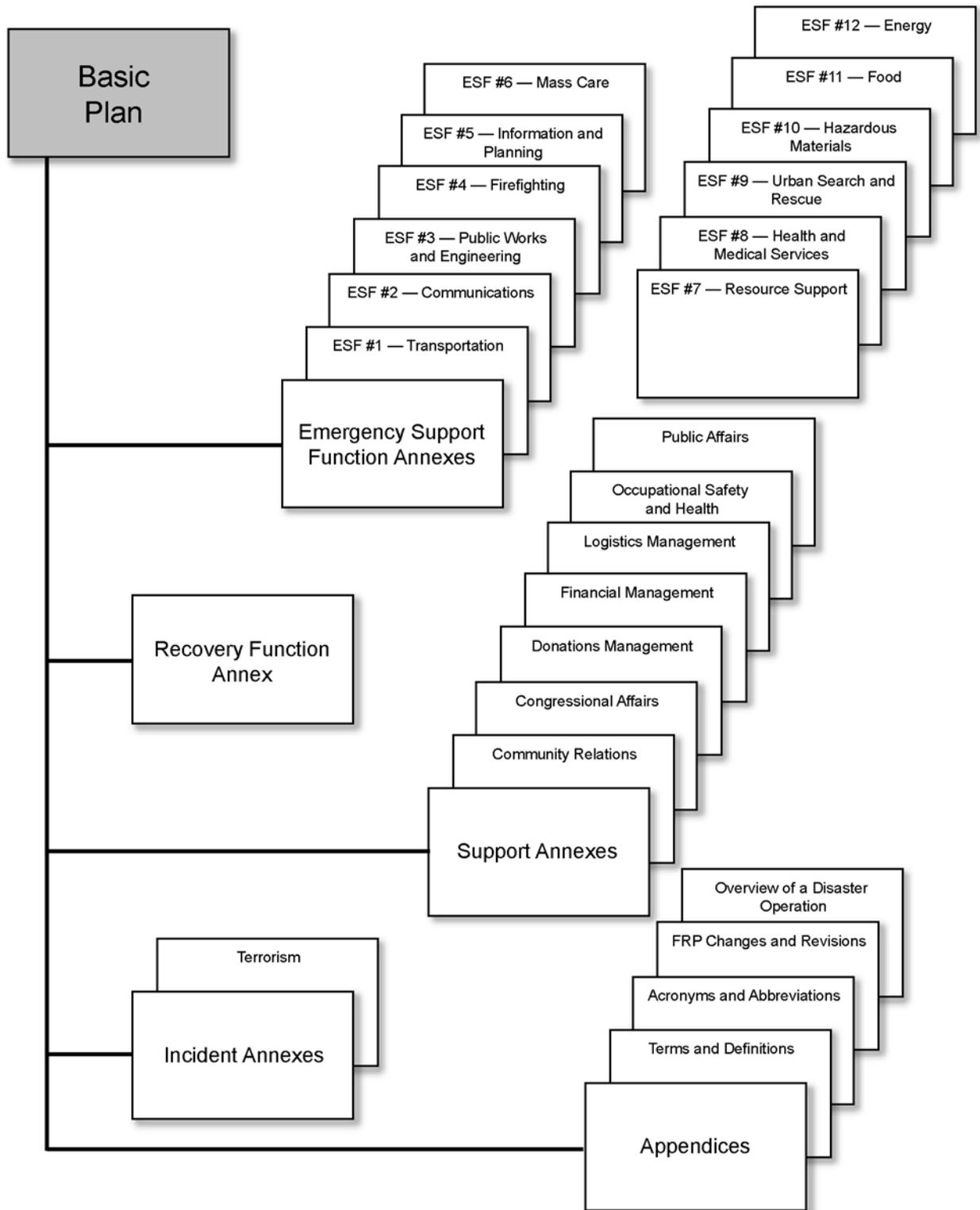


Figure 3 — Organization of the Federal Response Plan

II. Policies

A. Authorities

1. Under the Stafford Act, a Governor may request the President to declare a major disaster or an emergency if an event is beyond the combined response capabilities of the State and affected local governments. Based on the findings of a joint Federal-State-local Preliminary Damage Assessment (PDA) indicating the damages are of sufficient severity and magnitude to warrant assistance under the Act, the President may grant a major disaster or emergency declaration. (Note: In a particularly fast-moving or clearly devastating disaster, the PDA process may be deferred until after the declaration.)
2. If an emergency involves an area or facility for which the Federal Government exercises exclusive or primary responsibility and authority, the President may unilaterally direct the provision of emergency assistance under the Stafford Act. The Governor of the affected State will be consulted if possible.
3. No direct Federal assistance is authorized prior to a Presidential declaration. However, DHS can use limited predeclaration authorities to move Initial Response Resources (IRR) (critical goods typically needed in the immediate aftermath of a disaster (e.g., food, water, emergency generators) and emergency teams closer to potentially affected areas. DHS also can activate essential command and control structures to lessen or avert the effects of a disaster and to improve the timeliness of disaster operations. Additionally, when an incident poses a threat to life and property that cannot be effectively dealt with by the State or local governments, DHS may request the Department of Defense (DOD) to use its resources prior to a declaration to perform any emergency work “essential for the preservation of life and property” under the Stafford Act.
4. Following a declaration, the President may direct any Federal agency to use its authorities and resources in support of State and local assistance efforts to the extent that provision of the support does not conflict with other agency emergency missions. This authority has been further delegated to the Secretary of DHS; the DHS Regional Director; and the Federal Coordinating Officer (FCO).
5. The Secretary of DHS, on behalf of the President, appoints an FCO, who is responsible for coordinating the timely delivery of Federal disaster assistance to the affected State, local governments, and disaster victims. In many cases, the FCO also serves as the Disaster Recovery Manager (DRM) to administer the financial aspects of assistance authorized under the Stafford Act. The FCO works closely with the State Coordinating Officer (SCO), appointed by the Governor to oversee disaster operations for the State, and the Governor’s Authorized Representative (GAR), empowered by the Governor to execute all necessary documents for disaster assistance on behalf of the State.

6. The State must commit to pay a share of the cost to receive certain types of Federal assistance under the Stafford Act. In extraordinary cases, the President may choose to adjust the cost share or waive it for a specified time period. The Presidential declaration notes any cost-share waiver, and a DHS-State Agreement is signed further stipulating the division of costs among Federal, State, and local governments and other conditions for receiving assistance.
7. While performing a function under the authority of the Stafford Act, a Federal agency or designated employee of a Federal agency is not liable for any claim based on the exercise or performance of or the failure to exercise or perform that function.
8. In addition to a Presidential disaster declaration, several Federal agencies have independent authorities to declare disasters. For example, the Secretary of Agriculture may declare a disaster in certain situations in which a county has sustained production losses of 30 percent or greater in a single major enterprise, authorizing emergency loans for physical damages and crop losses. The Secretary of Commerce may make a determination of a commercial fishery failure or fishery resource disaster. The Administrator of the Small Business Administration (SBA) may make a disaster declaration based on physical damage to buildings, machinery, equipment, inventory, homes, and other property as well as economic injury.
9. Response by agencies to lifesaving and life-protecting requirements under the FRP has precedence over other Federal response activities, except where national security implications are determined to be of a higher priority. If a disaster or emergency affects the national security of the United States, appropriate national security authorities, plans, and procedures will be used.

B. Resource Coordination and Management

1. To the maximum extent possible, internal State and local resources should be used as the first line of support in response to a disaster. Intra-State and inter-State mutual aid can provide an additional option for timely and cost-effective resource support that can be executed prior to a Presidential disaster declaration. Mutual aid can be particularly useful in a disaster that depletes the resources of an individual State or community, but does not require a Presidential declaration.
2. Once State resources and capabilities are exhausted, Federal assistance may be provided to support State operational requirements and priorities.
3. When appropriate, Federal agencies should use their own authorities and funds to provide assistance for alleviating damage, loss, hardship, and suffering.
4. Federal assistance takes many forms — including the direct provision of goods and services, financial assistance (through insurance, grants, loans, direct payments), and technical assistance — and can come from various sources.
 - a. Initial sources include internal government supplies (available surplus and excess property, agency stock previously acquired from the Disaster Relief Fund or on

- hand). Agencies also may acquire needed goods and supplies outside the Federal Government from the private sector and possibly unaffected State and local governments.
- b. Resources are acquired using a standard government procurement vehicle such as a purchase order, blanket purchase agreement, contract, or cooperative agreement. Additionally, DHS may use a mission assignment, which is a work order issued to another Federal agency directing completion of a specific task or provision of a service in anticipation of, or in response to, a Presidential declaration of a major disaster or emergency. (See the Financial Management Support Annex for additional information.)
 - c. An appropriate level of management oversight, protection, and accountability must be ensured — from acquisition through final disposition — for all federally provided property brought to, used at, loaned by, or acquired at a disaster site. (See the Logistics Management Support Annex for additional information.)
5. Federal agencies may coordinate with voluntary organizations that provide a variety of disaster relief goods and services. Donations often play an important role in supplying disaster victims with essential needs. (See the Donations Management Support Annex for additional information.)
 6. Additionally, Federal agencies are encouraged to take advantage of current partnership relations with the private sector. Businesses, inside and outside the disaster-affected area, can supply critical resources during response operations, and assist in restoring essential services and rebuilding the economic base during recovery operations. (As potential disaster victims, private-sector businesses also are urged to identify their risks, develop appropriate contingency plans, and take corrective actions prior to a disaster.)
 7. Many foreign governments and individuals will respond with offers of assistance. Handling these offers could involve DHS, the Department of State (DOS), the DHS/U.S. Customs Service, and the DHS/Immigration and Naturalization Service (INS). State and local governments, however, are ultimately in charge of donations, in coordination with national, State, and local voluntary organizations.
 8. In an event requiring massive resources, conflicting priorities requiring the same resources should be resolved in the field by the Emergency Response Team (ERT) Operations Section Chief or FCO. Unresolved resource conflicts and unmet State needs will be referred to DHS Headquarters (HQ) to the Emergency Support Team (EST) and/or the Catastrophic Disaster Response Group (CDRG), if necessary, for final resolution.
 9. The Stafford Act requires that Federal agencies avoid duplicating resources and benefits whenever possible (i.e., agencies should not provide to a disaster victim the same or similar assistance that another agency is providing). Disaster victims are responsible for repayment of Federal assistance duplicated by private insurance or

other Federal programs. (See the Recovery Function Annex for additional information on duplication of benefits.)

C. Outreach/Information Dissemination

1. Community relations activities will be undertaken to provide information on Federal assistance programs to affected individuals, groups, organizations, and local governments. In addition, critical feedback from those affected will be provided for the FCO and staff. (See the Community Relations Support Annex for additional information.)
2. Congressional liaison will be established to provide information to the Washington, DC, and district offices of Members of Congress and to respond to questions, concerns, and problems raised by their constituents. (See the Congressional Affairs Support Annex for additional information.)
3. Public information will be an integral activity in disaster operations to ensure the coordinated and timely release of essential information to the public and news media about disaster-related activities. (See the Public Affairs Support Annex for additional information.)

III. Planning Assumptions

- A. A major disaster or emergency can cause numerous fatalities and injuries, property loss, and disruption of normal life-support systems, and can have an impact on the regional economic, physical, and social infrastructures.
- B. The extent of casualties and damage will reflect factors such as the time of occurrence, severity of impact, weather conditions, population density, building construction, and the possible triggering of secondary events such as fires and floods.
- C. The large number of casualties, heavy damage to buildings and basic infrastructure, and disruption of essential public services will overwhelm the capabilities of the State and its local governments to meet the needs of the situation, and the President will declare a major disaster or emergency.
- D. Federal agencies will need to respond on short notice to provide timely and effective assistance.
- E. The degree of Federal involvement will be related to the severity and magnitude of the event as well as the State and local need for external support. The most devastating disasters may require the full range of Federal response and recovery assistance. Less damaging disasters may require only partial Federal response and recovery assistance. Some disasters may require only Federal recovery assistance.

IV. Concept of Operations

A. General

1. Most disasters and emergencies are handled by State and local responders. The Federal Government is called on to provide supplemental assistance when the consequences of a disaster exceed State and local capabilities. If needed, the Federal Government can mobilize an array of resources to support State and local efforts. Various emergency teams, support personnel, specialized equipment, operating facilities, assistance programs, and access to private-sector resources constitute the overall Federal disaster operations system. The FRP describes the major components of the system, as well as the structure for coordinating Federal response and recovery actions necessary to address State-identified requirements and priorities.
2. The FRP employs a multiagency operational structure that uses the principles of the Incident Command System (ICS), based on a model adopted by the fire and rescue community. ICS can be used in any size or type of disaster to control response personnel, equipment, and facilities. ICS principles include use of common terminology, modular organization, integrated communications, unified command structure, action planning, manageable span-of-control, predesignated facilities, and comprehensive resource management. The basic functional modules of ICS (e.g., operations and logistics) can be expanded or contracted to meet requirements as an event progresses.

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

B. Concurrent Implementation of Other Federal Emergency Plans

1. An incident involving hazardous substances, WMD, or other lethal agents or materials may require a response under another Federal emergency operations plan (e.g., NCP and FRERP). These plans delineate measures necessary to handle or contain released materials and keep the public properly informed and protected.
2. Several of these plans designate a Lead Federal Agency (LFA) to coordinate the Federal response. The LFA is determined by the type of emergency. In general, an LFA establishes operational structures and procedures to assemble and work with agencies providing direct support to the LFA to obtain an initial assessment of the situation, develop an action plan, and monitor and update operational priorities. The LFA ensures each agency exercises its concurrent and distinct authorities and supports the LFA in carrying out relevant policy. Specific responsibilities of an LFA vary according to the agency's unique statutory authorities.

3. If the incident also involves concurrent implementation of the FRP, the LFA and DHS coordinate to the maximum extent practical to ensure effective, unified Federal actions, consistent with their distinct authorities and responsibilities. Direct DHS support to an LFA is limited to DHS's own authorities, resources, and expertise as an individual agency.
4. In a response to an emergency involving a radiological hazard, the LFA under the FRERP is responsible for Federal oversight of activities on site and Federal assistance to conduct radiological monitoring and assessment and develop protective action recommendations. When a radiological emergency warrants action under the Stafford Act, DHS uses the FRP to coordinate the nonradiological response to consequences off site in support of the affected State and local governments. If the FRERP and FRP are implemented concurrently, the Federal On-Scene Commander under the FRERP coordinates the FRERP response with the FCO, who is responsible for coordination of all Federal support to State and local governments. (Operational interfaces between the FRP and other Federal emergency plans are covered in more detail in the pertinent ESF and incident annexes.)

C. Integration of Response, Recovery, and Mitigation Actions

1. Following a disaster, immediate response operations to save lives, protect property, and meet basic human needs have precedence over recovery and mitigation. However, initial recovery planning should commence at once in tandem with response operations. Actual recovery operations will be initiated commensurate with State priorities and based on availability of resources immediately required for response operations.
2. In recognition that certain response and recovery activities may be conducted concurrently, coordination at all levels is essential to ensure consistent Federal actions throughout the disaster.
3. Mitigation opportunities should be actively considered throughout disaster operations. Decisions made during response and recovery operations can either enhance or hinder subsequent mitigation activities. The urgency to rebuild as soon as possible must be weighed against the longer term goal of reducing future risk and lessening possible impacts should another disaster occur.

D. Organizational Relationships

1. Department of Homeland Security

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

operations, DHS provides support for logistics management; communications and information technology; financial management; community relations, congressional affairs, public information, and other outreach; and information collection, analysis, and dissemination.

2. Emergency Support Functions

- a. The FRP employs a functional approach that groups under 12 ESFs the types of direct Federal assistance that a State is most likely to need (e.g., mass care and health and medical services), as well as the kinds of Federal operations support necessary to sustain Federal response actions (e.g., transportation and communications). ESFs are expected to support one another in carrying out their respective missions.
- b. Each ESF is headed by a primary agency designated on the basis of its authorities, resources, and capabilities in the particular functional area. Other agencies have been designated as support agencies for one or more ESFs based on their resources and capabilities to support the functional area(s). ESF primary and support agency designations are shown in **Figure 4**.
- c. Federal response assistance required under the FRP is provided using some or all the ESFs as necessary. DHS will issue a mission assignment to task a primary agency for necessary work to be performed on a reimbursable basis. The primary agency may in turn task support agencies if needed. Specific ESF missions, organizational relationships, response actions, and primary and support agency responsibilities are described in the Emergency Support Function Annexes to the FRP. In cases where required assistance is outside the scope of an ESF, DHS may directly task any Federal agency to bring its resources to bear in the disaster operation.
- d. Requests for assistance from local jurisdictions are channeled to the SCO through the designated State agencies in accordance with the State emergency operations plan and then to the FCO or designee for consideration. Based on State-identified response requirements and FCO or designee approval, ESFs coordinate with their counterpart State agencies or, if directed, with local agencies to provide the assistance required. Federal fire, rescue, and emergency medical responders arriving on scene are integrated into the local ICS structure.

3. Military Support

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

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

P = Primary Agency: Responsible for Coordination of the ESF

S = Support Agency: Responsible for Supporting the Primary Agency

Figure 4 — Emergency Support Function Designation Matrix

- b. Upon execution of the FRP, requests for military resource support must be accompanied by a Request for Federal Assistance (RFA) form, unless the DOD component is responding under its independent funding authority or the commander's immediate response authority as defined in the DOD Manual for Civil Emergencies (DOD 3025.1M). (Note: The inability to immediately obtain an RFA should not preclude approved support.)
- c. Prior to appointment of a Defense Coordinating Officer (DCO) (addressed below), national-level requests for military support are made through the Director of Military Support (DOMS), who represents the DOD executive agent (Secretary of the Army) for provision of military assistance to civil authorities. DOMS exercises national-level oversight of the DCO function.
- d. Requests for military support at the Disaster Field Office (DFO) are processed through the DCO, the military official specifically designated to orchestrate DOD support. To ensure a coordinated and consistent DOD disaster response, the DCO is the single point of contact (POC) in the field for coordinating and validating the use of DOD resources (excluding those provided by the U.S. Army Corps of Engineers (USACE) when operating as the primary agency for ESF #3 — Public Works and Engineering, and those of the National Guard forces operating under State control). The DCO:
 - (1) Is the designated DOD on-scene member of the ERT;
 - (2) Coordinates RFAs and mission assignments with the FCO or designated representative, normally the ERT Operations Section Chief; and
 - (3) Is supported on scene by a Defense Coordinating Element (DCE), comprising administrative staff and liaison personnel, including the Emergency Preparedness Liaison Officer (EPLO), who normally will collocate with the ERT Operations Section.

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

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

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

4. Federal Law Enforcement Assistance

- a. In a disaster or emergency, each State has primary responsibility for law enforcement, using State and local resources, including the National Guard (to the extent that the National Guard remains under State authority and has not been called into Federal service or ordered to active duty). Accordingly, the FRP makes no provision for direct Federal support of law enforcement functions in a disaster or emergency.
- b. If a State government should experience a law enforcement emergency (including one in connection with a disaster or emergency) in which it could not provide an adequate response to protect the lives and property of citizens, the State (on behalf of itself or a local unit of government) might submit an application in writing from the Governor to the Attorney General of the United States to request emergency Federal law enforcement assistance under the Justice Assistance Act of 1984 (42 U.S.C. 10501-10513) as prescribed in 28 CFR 65. The Attorney General will approve or disapprove the application no later than 10 days after receipt. If the application is approved, Federal law enforcement assistance may be provided including equipment, training, intelligence, and personnel.
- c. In the event that State and local police forces (including the National Guard operating under State control) are unable to adequately respond to a civil disturbance or other serious law enforcement emergency, a Governor may request, through the Attorney General, Federal military assistance under 10 U.S.C. 15. Pursuant to 10 U.S.C. 331-333, the President will ultimately determine whether to use the Armed Forces to respond to a law enforcement emergency. Under Title 10 authority, the President may federalize and deploy all or part of any State's National Guard.
- d. Procedures for coordinating DOD and Department of Justice (DOJ) responses to law enforcement emergencies arising under 10 U.S.C. 331-333 are set forth in the DOD Civil Disturbance Plan (GARDEN PLOT), February 15, 1991.
- e. Policies and structures for coordinating FRP operations with a DOJ response to threats or acts of terrorism within the United States are described in the FRP Terrorism Incident Annex.

E. Emergency Teams and Facilities

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

1. Secretary's Operations Center/Mobile Emergency Response Support Operations Center

- a. The Secretary's Operations Center (SOC) serves as DHS's official notification point of an impending or actual disaster or emergency. This facility maintains a 24-hour capability to monitor all sources of warning/disaster information, including other Federal agencies, DHS regions, and the news media. The SOC reports disaster events to DHS key officials, DHS regions, and FRP signatory agencies.
- b. Each DHS region is supported by a Mobile Emergency Response Support (MERS) Operations Center (MOC). Each MOC operates 24 hours a day and is tasked with monitoring events and providing pertinent information to DHS regional staff and the SOC.

2. Regional Operations Center

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

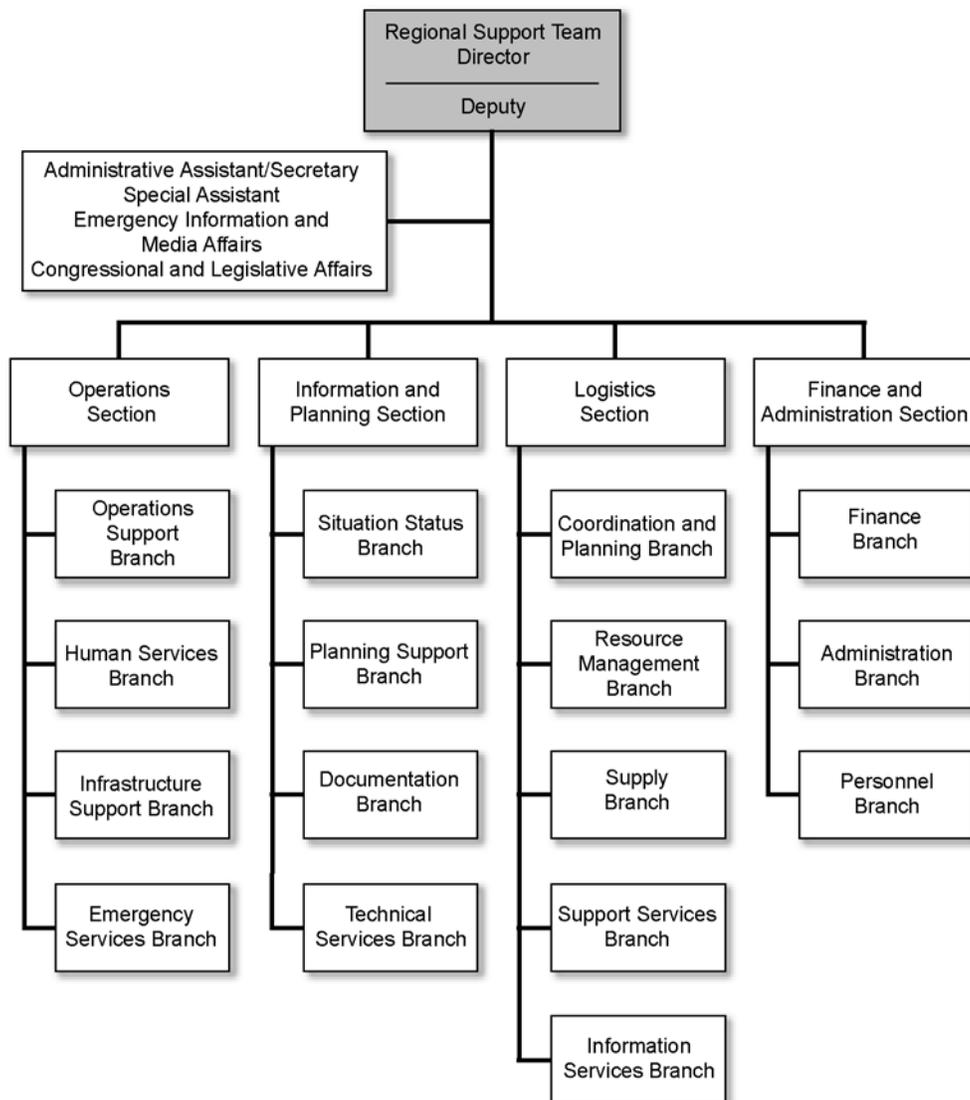


Figure 5 — Regional Support Team Organization

3. Emergency Response Team — Advance Element

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

4. National Emergency Response Team

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

5. Disaster Field Office

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

6. Emergency Response Team

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

a. FCO Support Staff

- (1) The FCO's immediate staff can include a Deputy FCO and/or Deputy FCO for Mitigation as well as representatives providing assistance in the following organizational or functional areas: Equal Rights, Safety Officer, Environmental Officer, General Counsel, Emergency Information and Media Affairs, Congressional and Legislative Affairs, Community Relations, Office of the Inspector General, and Comptroller.
- (2) In addition, a DCO works closely with the FCO or designated representative in orchestrating military support.

b. Operations Section

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

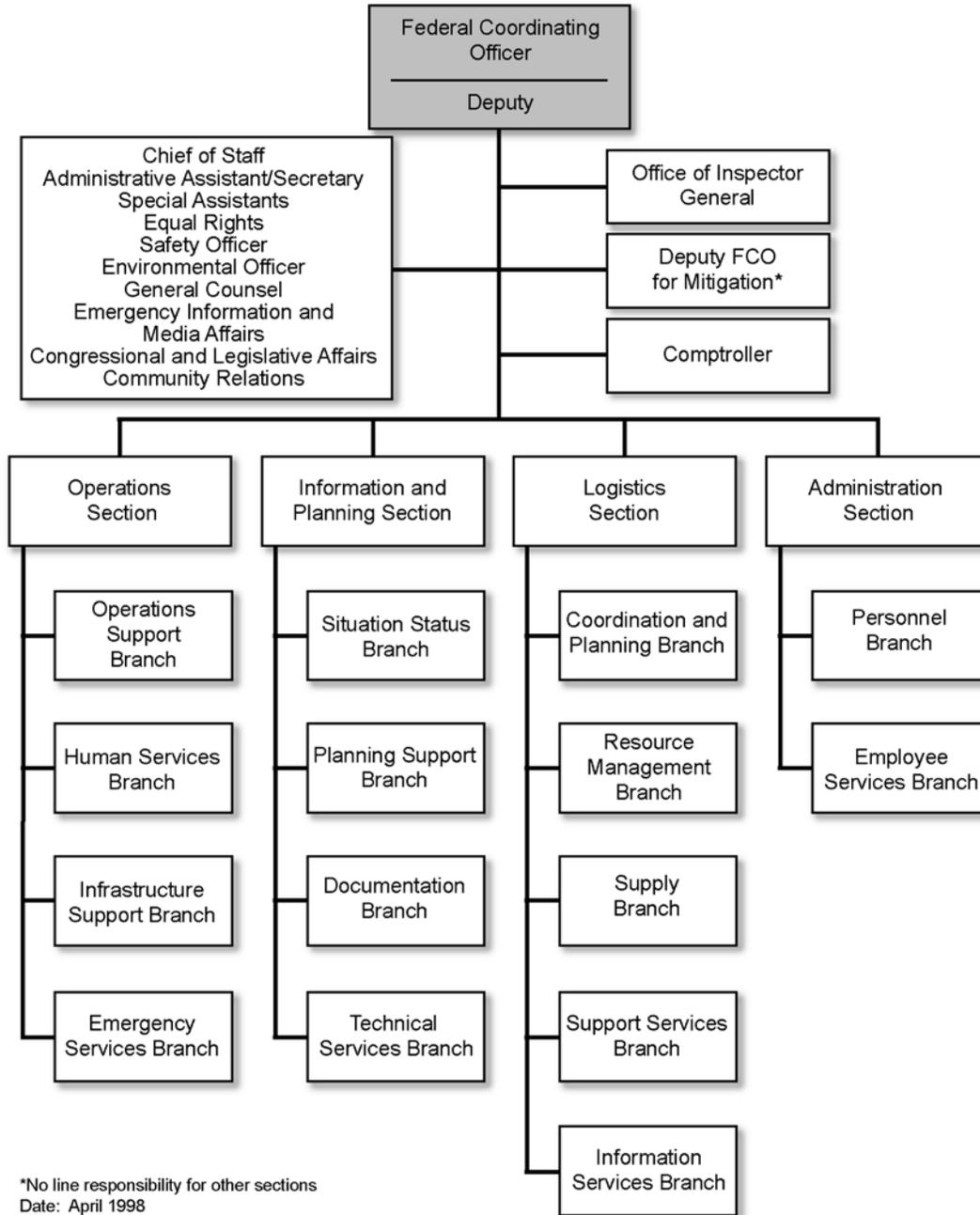


Figure 6 — Emergency Response Team Organization

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

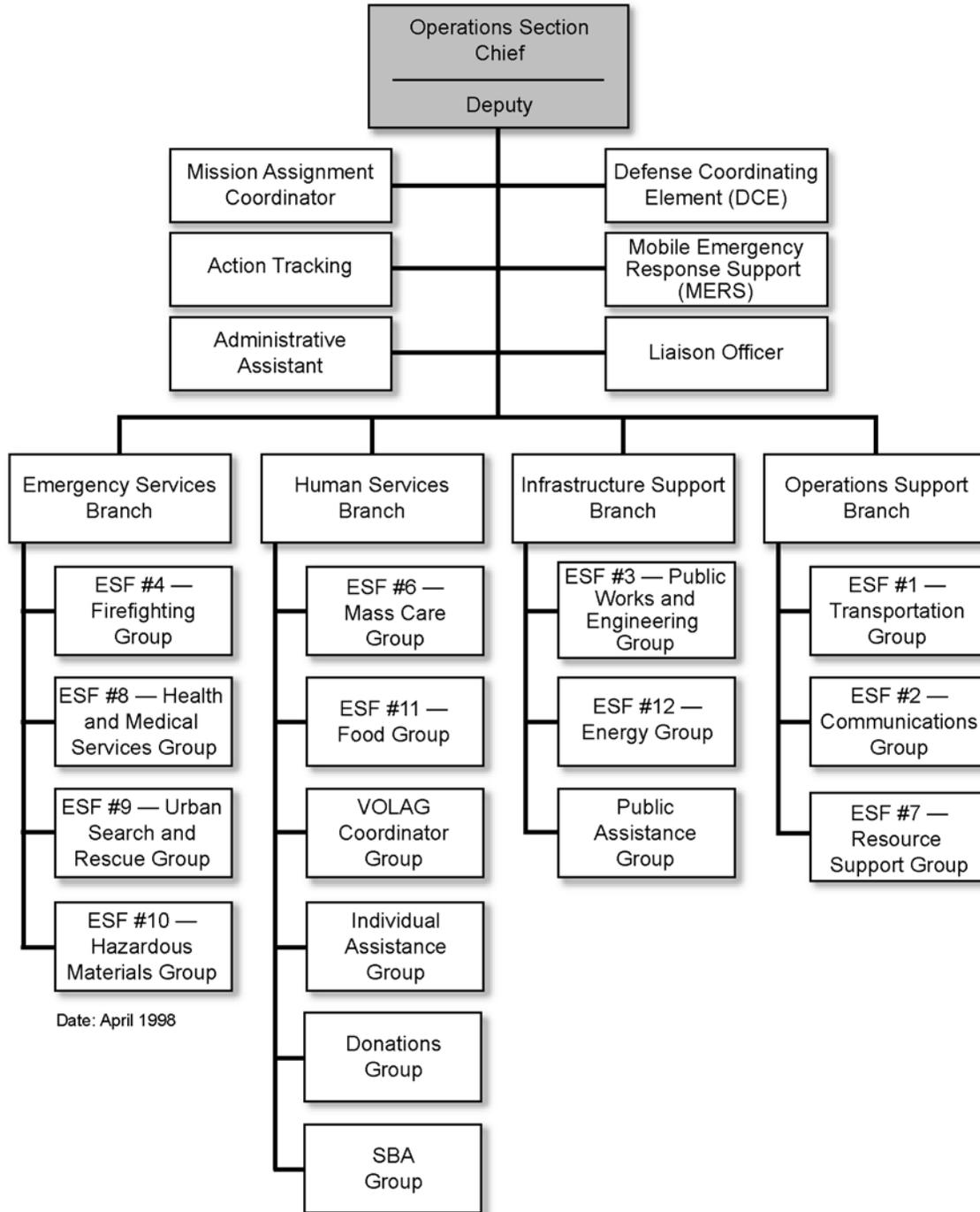


Figure 7 — ERT Operations Section Organization

c. Information and Planning Section

This section has two major tasks: the collection, processing, analysis, and dissemination of information about disaster operations to support planning and decision making at both the field operations and HQ levels; and the coordination

of short-term and long-term planning at the field operations level. (See ESF #5 — Information and Planning Annex for additional information.)

d. Logistics Section

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

e. Administration Section

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

7. Emergency Support Team

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

8. Catastrophic Disaster Response Group

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

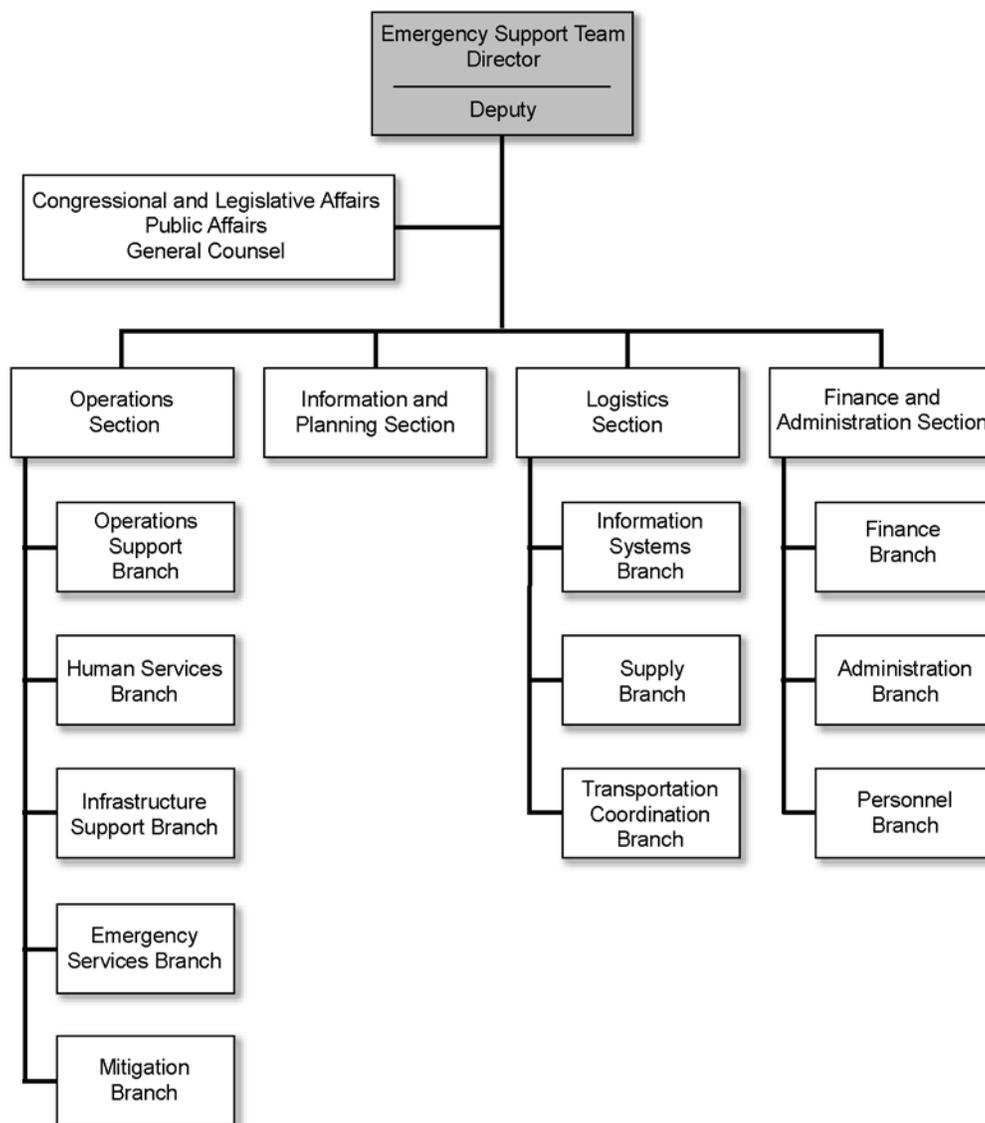


Figure 8 — Emergency Support Team Organization

9. Disaster Recovery Center

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

rebuilding techniques may be called a Reconstruction Information Center (RIC). A RIC may be set up at a fixed or mobile location.

10. Other Teams, Facilities, and Capabilities

- a. Additional specialized teams are ready for deployment to support disaster operations, including damage assessment teams, Disaster Medical Assistance Teams (DMATs), Donations Coordination Teams, Urban Search and Rescue (US&R) task forces, US&R Incident Support Teams, and mitigation assessment teams.
- b. Additional facilities support organizational deployment, including assembly points, mobilization centers, staging areas, points of departure, and points of arrival.
- c. Various other coordinating mechanisms, management tools, and information systems contribute to the overall Federal disaster operations system, including:
 - (1) Time-Phased Force and Deployment Data (TPFDD). A tool to manage the rapid, systematic movement of Federal response personnel, equipment, and critical relief supplies into an affected area in accordance with operational priorities;
 - (2) Movement Coordination Center (MCC). An element under ESF #1 — Transportation that is located at DHS HQ and, if necessary, in the field to coordinate the acquisition of transportation capacity and maintain visibility over validated transportation requests for assistance from inception through delivery to a mobilization center; and
 - (3) Rapid Response Information System (RRIS). A system of databases and links to Internet sites providing information to Federal, State, and local emergency officials on Federal capabilities to render assistance to manage the consequences of a terrorist attack using WMD. This information is directly available to designated officials in each State, the DHS regions, and key Federal agencies via a protected Intranet site. Local officials have access to the abbreviated Internet site and indirectly to the Intranet site through their State counterparts. Additional information is available to the emergency response community on characteristics of WMD and appropriate safety measures; availability of excess or surplus Federal equipment; access to chemical, biological, and nuclear helplines and hotlines; training courses; and a reference library.
- d. Many of these additional teams, facilities, and capabilities are discussed in the FRP annexes or are defined further in Appendix A.

V. *Response and Recovery Actions*

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

A. Initial Actions

1. Notification

- a. Upon indication of an imminent or actual disaster, the State notifies the DHS Regional Office through the MERS Operations Center 800 number. The MOC then immediately notifies the SOC and DHS regional staff in accordance with regional procedures. If directed by the Regional Director, the MOC also notifies regional agency representatives.
- b. The SOC notifies key DHS HQ staff and other Federal agencies through their respective agency EOCs and/or designated individual(s). An **advisory** is issued to provide an early warning that a possible event being monitored may result in activation. The advisory is for information only and requires no formal action. An alert is issued when an imminent or actual event is likely to result in activation. It puts Federal responders on notice that they need to be ready for immediate deployment. An **activation** directs immediate deployment to the location specified in the notice. A **cancellation** indicates that no further action is required or that an activation notification is being terminated.
- c. CDRG members may be notified to convene at DHS HQ for an initial meeting, depending on the nature of the disaster. CDRG members or alternates remain on call to meet at any time during the disaster response.

2. Activation

- a. The DHS Regional Director deploys a DHS State Liaison to the State EOC to provide advice on the declaration process and available Federal assistance, and also partially or fully activates the RST, including regional agency representatives.
- b. With the support of ESFs, the RST initially deploys members of the ERT-A, including damage assessment personnel, to State operating facilities and disaster sites to assess the impact of the situation, collect damage information, and determine requirements. If regional resources appear to be overwhelmed or in an event having potentially significant consequences, DHS HQ may deploy an ERT-N to coordinate the initial response.
- c. Meanwhile, if directed by DHS HQ, the SOC informs ESF primary agencies of an EST activation and provides a time for each activated ESF to report to DHS,

as part of the EST. Primary agencies are responsible for activation of their support agencies if required. Agencies may activate their HQ EOCs to provide coordination and direction to their regional response elements in the field.

- d. The Regional Director processes the Governor's request for a Presidential declaration, which indicates the extent of damage and the types of Federal assistance required. DHS HQ then forwards the Governor's request to the White House, along with a recommended course of action. Concurrent with a Presidential declaration of a major disaster or emergency and official appointment of an FCO, DHS designates the types of assistance to be made available and the counties eligible to receive assistance. The Regional Director appoints a DRM.
- e. The ROC and EST Logistics Section support the establishment of a DFO and mobilization center(s). The ROC also coordinates Federal support of State requirements until the FCO assumes those responsibilities. A Joint Information Center (JIC) may be established, as required, to provide a central point for coordinating emergency public information activities.
- f. The ERT-A/ERT-N coordinates damage assessment and selection of locations for field facilities with the State. It also coordinates mission assignments for direct Federal assistance and procurement of goods and services with the Comptroller and RST. The ERT-A/ERT-N begins the transition to a partial or full ERT.
- g. ESFs act quickly to determine the impact of a disaster on their own capabilities and to identify, mobilize, and deploy resources to support response activities in the affected State.
- h. The EST begins interagency operations by supporting initial activation, mission assignment requirements, and RST activities as needed.

B. Continuing Actions

1. Response Operations

- a. The ERT-A/ERT-N completes the transition to a full ERT by the addition of staff, including ESF representatives.
- b. Headed by the FCO and located at the DFO, the ERT assumes operational responsibility from the RST for coordinating Federal disaster assistance in support of State-identified needs and priorities submitted by the SCO.
- c. The ESF representatives on the ERT coordinate Federal assistance under their respective ESF missions. To the extent possible, they maintain contact with their State counterparts.
- d. At DHS, the EST provides financial, administrative, logistical, and operational support to the ERT and ROC as required, including coordinating the

deployment of emergency teams and supplies. The CDRG convenes as needed to address policy issues such as allocation of scarce Federal resources.

- e. Early in the response, the Deputy FCO for Mitigation plays a critical role in identifying mitigation opportunities and educating disaster workers on the merits of incorporating mitigation measures into response and recovery actions.
- f. Congressional Affairs staff from DHS and supporting agencies conduct briefings for Members of Congress and staff as appropriate.
- g. Working with other Federal and State environmental agencies, the Environmental Officer identifies environmental and historic resources that might require consideration under the law as response and recovery efforts are implemented.
- h. Once immediate response missions and lifesaving activities conclude, emergency teams are demobilized and the emphasis shifts from response to recovery operations. The ERT Information and Planning Section develops a demobilization plan for the ERT during response operations.

2. Recovery Operations

- a. The ERT Operations Section is the central coordination point among Federal and State agencies and voluntary organizations for delivering recovery assistance programs. The Human Services and Infrastructure Support Branches of the Operations Section assess State and local recovery needs at the outset of the disaster and relevant timeframes for program delivery. The branches ensure Federal agencies that might have appropriate recovery assistance programs are notified of the disaster and share relevant applicant and damage information with all involved agencies.
- b. In conjunction with the SCO, the FCO determines the need for DRCs in the disaster area. Federal and State agencies staff the DRCs with knowledgeable officials who provide recovery program information, advice, counseling, and technical assistance related to mitigation.
- c. The Human Services Branch of the ERT coordinates assistance programs to help individuals, families, and businesses meet basic needs and return to self-sufficiency. The branch also coordinates with voluntary organizations and may become involved in donations management.
- d. The Infrastructure Support Branch of the ERT coordinates assistance programs to aid State and local governments and eligible private nonprofit organizations to repair or replace damaged public facilities.
- e. The two branches assist in identifying appropriate agency assistance programs to meet applicant needs, synchronizing assistance delivery, and encouraging incorporation of mitigation measures where possible. Additionally, they track

overall progress of the recovery effort, particularly noting potential program deficiencies and problem areas.

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

3. Stand Down

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

4. After-Action Report

Following a disaster, the FCO submits an after-action report through the ERT Information and Planning Section to DHS HQ detailing problems encountered and key issues affecting Federal performance. Data from these issues and targeted reviews are analyzed and provided to appropriate DHS management for consideration. After a particularly large or unique disaster operation, DHS also may convene an interagency forum to identify lessons learned. Each Federal agency involved is encouraged to keep records of its activity to assist in preparing its own after-action report.

VI. Responsibilities

A. ESF Primary Agencies

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

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

B. ESF Support Agencies

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

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

C. Recovery Agencies

In recovery operations, each Federal agency has responsibility for:

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

D. Other Federal Agencies

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

E. Planning

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

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

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