

# **SUPPORT ANNEXES: INTRODUCTION**

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The Support Annexes describe how Federal departments and agencies; State, tribal, and local entities; the private sector; volunteer organizations; and nongovernmental organizations (NGOs) coordinate and execute the common functional processes and administrative requirements necessary to ensure efficient and effective incident management. During an incident, numerous procedures and administrative functions are required to support incident management.

The actions described in the Support Annexes are not limited to particular types of events but are overarching in nature and applicable to nearly every type of incident. In addition, they may support several Emergency Support Functions (ESFs). Examples include public affairs, international affairs, and worker safety and health.

The Support Annexes may be fully or partially implemented without the Secretary of Homeland Security coordinating Federal operations.

The following section includes a series of annexes describing the roles and responsibilities of Federal departments and agencies, NGOs, and the private sector for those common activities that support the majority of incidents. The annexes address the following areas:

- Critical Infrastructure and Key Resources
- Financial Management
- International Coordination
- Private-Sector Coordination
- Public Affairs
- Tribal Relations
- Volunteer and Donations Management
- Worker Safety and Health

## **Support Annex Roles and Responsibilities**

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The overarching nature of functions described in these annexes frequently involves either the support to, or the cooperation of, all departments and agencies involved in incident management efforts to ensure seamless integration of and transitions between preparedness, response, and recovery activities.

Each annex is managed by one or more coordinating agencies and is supported by various cooperating agencies. The responsibilities of coordinating and cooperating agencies are identified below.

### **Coordinating Agency**

Federal agencies designated as coordinating agencies are responsible for implementation of processes detailed in the annexes. Coordinating agencies support the Department of Homeland Security (DHS) incident management mission by providing the leadership, expertise, and authorities to implement critical and specific aspects of the response. In accordance with Homeland Security Presidential Directive 5, DHS retains responsibility for overall domestic incident management.

When the functions of a particular Support Annex are required, the agency serving as the coordinator is responsible for:

- Orchestrating a coordinated delivery of those functions and procedures identified in the annex.
- Providing staff for operations functions at fixed and field facilities.
- Notifying and subtasking cooperating agencies.
- Managing tasks with cooperating agencies, as well as appropriate State, tribal, or local agencies.
- Working with appropriate private-sector organizations to maximize use of available resources.
- Supporting and keeping ESFs and other organizational elements informed of annex activities.
- Planning for short- and long-term support to incident management and recovery operations.
- Conducting preparedness activities such as training and exercises to maintain personnel who can provide appropriate support.

### **Cooperating Agencies**

Cooperating agencies are those entities that have specific expertise and capabilities to assist the coordinating agency in executing incident-related tasks or processes. When the procedures within a Support Annex are needed to support elements of an incident, the coordinating agency will notify cooperating agencies of the circumstances. Cooperating agencies are responsible for:

- Conducting operations, when requested by DHS or the coordinating agency, consistent with their own authority and resources, except as directed otherwise pursuant to sections 402, 403, and 502 of the Stafford Act.
- Participating in planning for short- and long-term incident management and recovery operations and the development of supporting operational plans, standard operating procedures, checklists, or other job aids, in concert with existing first-responder standards.
- Furnishing available personnel, equipment, or other resource support as requested by DHS or the Support Annex coordinator.
- Participating in training and exercises aimed at continuous improvement of response and recovery capabilities.

When requested, and upon approval of the Secretary of Defense, the Department of Defense (DOD) provides Defense Support of Civil Authorities during domestic incidents. Accordingly, DOD is considered a cooperating agency for the majority of Support Annexes.

**Table 1. Designation of Support Annex Coordinating and Cooperating Agencies**

Cr = Coordinating Agency  
Co = Cooperating Agency

Agency	Critical Infrastructure and Key Resources	Financial Management	International Coordination	Private-Sector Coordination	Public Affairs	Tribal Relations	Volunteer and Donations Management	Worker Safety and Health
USDA	Co	Co	Co	Co	Co	Co	Co	
DOC	Co	Co	Co	Co	Co			
DOD	Co	Co	Co	Co	Co			
DOD/USACE								Co
ED	Co	Co		Co	Co			
DOE	Co	Co	Co	Co	Co			Co
HHS	Co	Co	Co	Co	Co	Co	Co	Co
DHS	Cr	Co	Co	Cr	Cr	Cr	Co	
DHS/FEMA		Cr					Cr	Co
DHS/USCG								Co
HUD		Co		Co	Co			
DOI	Co	Co		Co	Co	Co		
DOJ	Co	Co	Co	Co	Co			
DOL	Co	Co		Co	Co			Cr
DOS	Co	Co	Cr	Co	Co		Co	
DOT	Co	Co	Co	Co	Co		Co	
TREAS	Co	Co		Co	Co			
VA	Co	Co		Co	Co			
EPA	Co	Co		Co	Co			Co
FCC		Co		Co	Co			
GSA		Co		Co	Co		Co	
NASA		Co		Co	Co			
NRC	Co	Co		Co	Co			
OPM		Co		Co	Co			
SBA		Co		Co	Co			
SSA		Co		Co	Co			
TVA		Co		Co	Co			
USAID		Co	Co	Co	Co		Co	
USPS	Co	Co		Co	Co			

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<b>Agency</b>	<b>Critical Infrastructure and Key Resources</b>	<b>Financial Management</b>	<b>International Coordination</b>	<b>Private-Sector Coordination</b>	<b>Public Affairs</b>	<b>Tribal Relations</b>	<b>Volunteer and Donations Management</b>	<b>Worker Safety and Health</b>
<b>ARC</b>			Co					
<b>FERC</b>	Co							
<b>IC</b>	Co							
<b>ISAC</b>	Co							
<b>OSTP</b>	Co							
<b>PCIS</b>	Co							
<b>SLTTGCC</b>	Co							
<b>USA Freedom Corps</b>							Co	
<b>CNCS</b>							Co	
<b>NVOAD</b>							Co	

### Coordinating Agency:

Department of Homeland Security

### Cooperating Agencies/Organizations:

Department of Agriculture  
Department of Commerce  
Department of Defense  
Department of Education  
Department of Energy  
Department of Health and Human Services  
Department of the Interior  
Department of Justice  
Department of Labor  
Department of State  
Department of Transportation  
Department of the Treasury  
Department of Veterans Affairs  
Environmental Protection Agency  
Federal Energy Regulatory Commission  
Intelligence Community  
Nuclear Regulatory Commission  
Office of Science and Technology Policy  
U.S. Postal Service  
Information Sharing and Analysis Center  
Council  
Partnership for Critical Infrastructure  
Security  
State, Local, Tribal, and Territorial  
Government Coordinating Council

## INTRODUCTION

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### Purpose

This annex describes policies, roles and responsibilities, and the concept of operations for assessing, prioritizing, protecting, and restoring critical infrastructure and key resources (CIKR) of the United States and its territories and possessions during actual or potential domestic incidents. The annex details processes to ensure coordination and integration of CIKR-related activities among a wide array of public and private incident managers and CIKR security partners within immediate incident areas as well as at the regional and national levels. Specifically, this annex does the following:

- Describes roles and responsibilities for CIKR preparedness, protection, response, recovery, restoration, and continuity of operations relative to *National Response Framework (NRF)* coordinating structures and *National Incident Management System (NIMS)* guiding principles.
- Establishes a concept of operations for incident-related CIKR preparedness, protection, response, recovery, and restoration.<sup>1</sup>
- Outlines incident-related actions (including preresponse and postresponse) to expedite information sharing and analysis of actual or potential impacts to CIKR and facilitate requests for assistance and information from public- and private-sector partners.

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<sup>1</sup> Restoration is an element of recovery and, within the context of this annex, is defined as returning CIKR services and site performance capabilities.

### Scope

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This annex addresses integration of the CIKR protection<sup>2</sup> and restoration mission as a vital component of the Nation's unified approach to domestic incident management, which also may include CIKR-related international considerations.

Critical infrastructure includes those assets, systems, networks, and functions—physical or virtual—so vital to the United States that their incapacitation or destruction would have a debilitating impact on security, national economic security, public health or safety, or any combination of those matters. Key resources are publicly or privately controlled resources essential to minimal operation of the economy and the government.<sup>3</sup>

CIKR is organized into 17 sectors that together provide essential functions and services supporting various aspects of the U.S. Government, economy, and society. (See Table A-1 for a full list of sectors and designated Sector-Specific Agencies (SSAs).)

Processes outlined herein apply to Federal departments and agencies during incidents with potential or actual CIKR impacts—and may apply to, or involve, incident managers and security partners<sup>4</sup> at other levels of government and the private sector, including CIKR owners and operators.

CIKR-related processes described in this annex utilize the unified risk-based approach for "steady-state" protection detailed in the *National Infrastructure Protection Plan (NIPP)*. CIKR requirements generated by the threat or incident at hand are coordinated through *NRF* and *NIMS* organizational structures. This applies to activities in the local incident area, as well as response and recovery activities outside the incident area, regionally, or nationally.

### Policies

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Policies for CIKR protection and preparedness are established through the following authorities: Homeland Security Act of 2002; Homeland Security Presidential Directive (HSPD) 7, "Critical Infrastructure Identification, Prioritization, and Protection"; the National Strategy for the Physical Protection of Critical Infrastructure and Key Assets; the National Strategy for Securing Cyberspace; and other relevant statutes, Executive orders, and Presidential directives.

HSPD-7 charges the Secretary of Homeland Security with responsibility for coordinating the overall national effort to enhance the protection of the CIKR of the United States. The directive also designates SSAs with responsibility for coordinating planning-, preparedness-, and protection-related activities within each of the 17 CIKR sectors. This approach provides the structure needed to address the unique characteristics and operating models of each of the sectors.

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<sup>2</sup> *National Infrastructure Protection Plan (NIPP)*, 2006, Glossary, pg. 104, defines the term *protection* as "actions to mitigate the overall risk to CIKR assets, systems, networks, or their interconnecting links resulting from exposure, injury, destruction, incapacitation, or exploitation. In the context of the *NIPP*, protection includes actions to deter the threat, mitigate vulnerabilities, or minimize consequences associated with a terrorist attack or other incident. Protection can include a wide range of activities, such as hardening facilities, building resiliency and redundancy, incorporating hazard resistance into initial facility design, initiating active or passive countermeasures, installing security systems, promoting workforce surety, and implementing cyber security measures, among various others."

<sup>3</sup> *NIPP*, 2006, Glossary of Key Terms, is the source for the definitions of critical infrastructure and key resources. These definitions are derived from the provisions of the Homeland Security Act of 2002 and HSPD-7.

<sup>4</sup> As defined in the *NIPP*, security partners include Federal, State, regional, tribal, local, or international government organizations; private-sector owners and operators and representative organizations; academic and professional entities; and not-for-profit and private volunteer organizations. Regional security partnerships include a variety of public-private sector initiatives that cross jurisdictional and/or sector boundaries.

Further information on a variety of statutes, strategies, and directives that are applicable to CIKR protection and restoration are included in Appendix 2A of the *NIPP*.

This annex does not alter or supersede existing:

- Statutory responsibilities for CIKR protection, incident management, emergency management, or other related functions under the law.
- Regulatory, contractual, or other legal relationships between Federal agencies and the private sector.
- International agreements, treaties, or other agreements for incident management or between the U.S. Government and other countries.

The following sections provide an overview of the general authorities that guide CIKR-related activities in the context of the *NRF*. This includes the *NIPP*, developed as the implementing structure for steady-state CIKR protection; the Robert T. Stafford Disaster Relief and Emergency Assistance Act; and the Defense Production Act.

### ***National Infrastructure Protection Plan (NIPP)***

The *NIPP* and its associated CIKR Sector-Specific Plans (SSPs) work in conjunction with the *NRF* and its supporting annexes to provide a foundation for CIKR preparedness, protection, response, and recovery efforts in an all-hazards context.

In fact, day-to-day public-private coordination structures, information-sharing networks, and risk management frameworks used to implement *NIPP* steady-state CIKR protection efforts continue to function and enable coordination and support for CIKR protection and restoration for incident-management activities under the *NRF*.

The *NIPP* establishes the overall risk-based construct that defines the unified approach to protecting the Nation's CIKR in an all-hazards context, and specifies procedures and activities to reduce risk to the Nation's CIKR on a day-to-day basis, including:

- The risk management framework used to implement *NIPP* steady-state CIKR protection efforts and provide the CIKR protection and restoration dimension for incident management activities under the *NRF*.
- The sector partnership model that encourages the use of Sector Coordinating Councils (SCCs), Government Coordinating Councils (GCCs), and cross-sector coordinating councils to create an integrated national framework for CIKR preparedness, protection, and restoration across sectors.
- The networked approach to CIKR information sharing that provides for multidirectional CIKR-related exchanges of actionable intelligence, alerts, warnings, and other information between and among various *NIPP* partners including: SSAs; State, tribal, and local entities; the Intelligence Community; law enforcement; Emergency Support Functions (ESFs); other Federal agencies and departments; and CIKR owners, operators, and sector-based information-sharing mechanisms.<sup>5</sup>

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<sup>5</sup> CIKR sectors rely on information-sharing mechanisms such as Information Sharing and Analysis Centers (ISACs), which provide operational and tactical capabilities for information sharing and, in some cases, support for incident response activities. Originally recommended by Presidential Decision Directive 63 in 1998, ISACs are sector-specific entities that advance physical and cyber CIKR protection efforts by establishing and maintaining frameworks for operational interaction between and among members and external security partners.

Complementing the *NIPP*, supporting SSPs provide the specific mechanisms required for full implementation of the *NIPP* risk management framework within each CIKR sector and are developed by designated SSAs in close collaboration with sector security partners, ESFs, and other Federal agencies and departments.

### The Value Proposition

Prevention, response, restoration, and recovery efforts are most efficient and effective when there is full participation of government and industry partners. The “value proposition” set forth in the *NIPP* articulates the mutual benefits to government and private sector for engaging in preparedness and response activities. In accordance with these principles, the Federal Government:

- Provides owners and operators timely, accurate, and actionable all-hazards information.
- Ensures owners and operators are engaged at senior executive and operational levels primarily through their respective SCCs and GCCs.
- Articulates benefits of a risk-based, cross-sector approach to preparedness, resilience, and protection.
- Works with owners and operators to clearly establish priorities for prevention, protection, and recovery.
- Provides specialized technical expertise for CIKR-related preparedness, protection, and recovery.
- Coordinates with international allies and owners and operators on CIKR priorities, risk assessments, mitigation, and restoration and recovery activities.

### General Process for Requesting Federal Assistance

CIKR-related preparedness, protection, response, and recovery activities operate within a framework of mutual aid and assistance. Incident-related requirements can be addressed through direct actions by owners and operators or with government assistance provided by Federal, State,<sup>6</sup> tribal, or local authorities in certain specific circumstances.

**Robert T. Stafford Disaster Relief and Emergency Assistance Act.**<sup>7</sup> Disaster assistance programs generally offer support for incident-related repair, replacement, or emergency protective services needed for infrastructure owned and operated by government entities.

Stafford Act principles permit consideration of private-sector requests for assistance, but the application of these legal principles does not guarantee that needs or requests from private-sector entities will be met in all cases. A private-sector CIKR owner or operator may receive direct or indirect assistance from Federal Government sources when the need:

- Exceeds capabilities of the private sector and relevant State, tribal, and local governments;
- Relates to immediate threat to life and property;

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<sup>6</sup> Consistent with the definition of “State” in the Homeland Security Act of 2002, all references to States within the CIKR Support Annex are applicable to territories and include by reference any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States (Homeland Security Act of 2002).

<sup>7</sup> Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended by Public Law 106-390, April 2007; § 5170b. ESSENTIAL ASSISTANCE (Sec. 403).



## Critical Infrastructure and Key Resources Support Annex

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- Is critical to disaster response or community safety; and
- Relates to essential Federal recovery measures.

The process for coordinating requests for assistance and information from private-sector CIKR owners and operators is described in the Concept of Operations section of this annex.

The Defense Production Act (DPA) provides specific authority to expedite supply and strengthen production capabilities for CIKR protection and restoration activities.<sup>8</sup> These authorities include use of the following:

- Priority ratings in the Defense Priorities and Allocations System on contracts and orders for industrial resources.<sup>9</sup>
- Financial incentives to expedite deliveries and expand supplies of materials and services.
- Agreements by the private sector to share information to coordinate management of critical supplies.
- Private-sector experts in government emergency preparedness, response, and recovery activities.

The Department of Homeland Security (DHS)/Federal Emergency Management Agency coordinates DPA authorities related to incident management before and during an incident, including: providing priority ratings on contracts and orders for industrial resources in cooperation with the Department of Commerce or relevant SSAs; developing guidance and procedures; coordinating DPA plans and programs; and providing technical assistance for all appropriate Federal agencies under the *NRF* and *NIPP*.

## CONCEPT OF OPERATIONS

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The concept of operations describes specific organizational approaches, processes, coordinating structures, and incident-related actions required for the protection and restoration of CIKR assets, systems, networks, or functions within the impacted area and outside the impacted area at the local, regional, and national levels. The processes described herein are detailed further in standard operating procedures, field guides, and other related guidance developed collaboratively by DHS and the cooperating agencies to this annex.

The concept of operations uses the organizational structures and information-sharing mechanisms that are established in the *NIPP* for identifying, prioritizing, protecting, and restoring the Nation's CIKR and describes protocols to integrate these steady-state organizational elements with *NRF* incident management organizational structures and activities.

Specifically, the concept of operations focuses on processes and actions for CIKR-related:

- Situational awareness.

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<sup>8</sup> The Defense Production Act of 1950 (codified as amended by the Defense Production Act Reauthorization of 2003) is the primary authority to ensure the timely availability of resources for national defense and civil emergency preparedness and response. The DPA defines "national defense" to include critical infrastructure protection and restoration, as well as activities authorized by the emergency preparedness sections of the Stafford Act. Consequently, DPA authorities are available for activities and measures undertaken in preparation for, during, or following a natural disaster or accidental or man-caused event.

<sup>9</sup> The Defense Priorities and Allocations System regulation found in 15 CFR Part 700 implements the priorities and allocations authority of the DPA, ensures the timely availability of industrial resources for approved programs, and provides an operating system to support rapid industrial response to a national emergency.

- Impact assessments and analysis.
- Information sharing.
- Requests for assistance or information from private-sector CIKR owners and operators.

### General

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Addressing CIKR-related prevention, protection, preparedness, response, and recovery requires cooperation and collaboration between and among CIKR entities. A primary objective of this collaborative effort between the private-sector owners and operators; State, tribal, and local governments; nongovernmental organizations; and the Federal Government is to ensure that resources are applied where they offer the most benefit for mitigating risk, deterring threats, and minimizing the consequences of incidents.

DHS is responsible for leading, integrating, and coordinating the overall national effort to enhance CIKR protection, including developing and implementing comprehensive, multitiered risk management programs and methodologies; developing cross-sector and cross-jurisdictional protection guidance and protocols; and recommending risk management and performance criteria and metrics within and across sectors. The DHS responsibilities for CIKR support that are most applicable during incident response include:

- Identifying, prioritizing, and coordinating Federal action in support of the protection of nationally critical assets, systems, and networks, with a particular focus on CIKR that could be exploited to cause catastrophic health effects or mass casualties comparable to those produced by a weapon of mass destruction.
- Establishing and maintaining a comprehensive, multitiered, dynamic information-sharing network designed to provide timely and actionable threat information, assessments, and warnings to public- and private-sector security partners. This responsibility includes protecting sensitive information voluntarily provided by the private sector and facilitating the development of sector-specific and cross-sector information-sharing and analysis systems, mechanisms, and processes.
- Coordinating, facilitating, and supporting comprehensive risk assessment programs for high-risk CIKR, identifying protection priorities across sectors and jurisdictions, and integrating CIKR protective programs with the all-hazards approach to domestic incident management described in HSPD-5.
- Identifying and implementing plans and processes for threat-based increases in protective measures that align to all-hazards warnings, specific threat vectors as appropriate, and each level of the Homeland Security Advisory System (HSAS).
- Conducting modeling and simulations to analyze sector, cross-sector, and regional dependencies and interdependencies, to include cyber-related issues, and sharing the results with security partners, as appropriate.
- Integrating national efforts for the protection and recovery of CIKR, including analysis, warning, information sharing, vulnerability reduction, and mitigation activities and programs.
- Documenting and sharing lessons learned from exercises, actual incidents, and predisaster mitigation efforts and applying those lessons, where applicable, to CIKR protection efforts.

- Working with the Department of State, SSAs, and other security partners to ensure that U.S. CIKR protection efforts are fully coordinated with international partners.

Federal departments and agencies provide support consistent with their CIKR-related statutory or regulatory responsibilities or with their designated functions as SSAs, ESF primary or supporting agencies, or coordinating or cooperating agencies for other related *NRF* Support or Incident Annexes.<sup>10</sup>

SSAs focus on overarching CIKR protection, risk management, and information sharing by working collaboratively with SCCs, GCCs, relevant Federal departments and agencies, State, local, and tribal governments, ESFs, CIKR owners and operators, sector-based information-sharing mechanisms, and other private-sector entities.

SSAs coordinate CIKR efforts within their sectors to deter threats, mitigate vulnerabilities, and minimize consequences of manmade and natural incidents. SSPs specify each sector's approach to the risk management and information-sharing components of incident management.

In cooperation with the DHS Office of Infrastructure Protection (OIP), SSAs collaborate with private-sector security partners to encourage:

- Supporting comprehensive risk assessment and management programs for high-risk CIKR.
- Sharing real-time incident notification as well as CIKR protection practices and processes.
- Developing information-sharing and analysis mechanisms to include consideration of physical and cyber threats.
- Promoting security-related information sharing among public and private entities.

In the context of incident management, SSAs coordinate with their counterparts designated within various *NRF* and ESF, Incident, or other Support Annex functions, as appropriate.

ESFs are activated to provide support for evolving CIKR-related incident management requirements by:

- Providing authorities, resources, program implementation, and support required for infrastructure-related response, recovery, and restoration within the impacted area.
- Serving as key points of coordination to address CIKR issues and concerns relating to the impacted area.
- Coordinating and collaborating with DHS; SSAs; owners and operators; State, tribal, and local entities; ESFs; and others as required to address CIKR concerns that fall within the scope of their ESF or other *National Response Framework*-related responsibilities.

State, tribal, and local government entities establish security partnerships, facilitate information sharing, and enable planning and preparedness for CIKR protection within their jurisdictions. State governments are responsible for:

- Developing and implementing statewide or regional CIKR protection programs integrated into homeland security and incident management programs.

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<sup>10</sup> Further discussion of specific Federal department and agency support for the CIKR support activities is in the Roles and Responsibilities section of this annex.

- Serving as crucial coordination hubs, bringing together prevention, preparedness, protection, response, and recovery authorities, capacities, and resources among local jurisdictions, across sectors, and across regional entities.
- Acting as conduits for requests for Federal assistance when the threat or incident situation exceeds the capabilities of public- and private-sector security partners in their jurisdictions.
- Coordinating with the State, Local, Tribal, and Territorial Government Coordinating Council (SLTTGCC) to ensure full integration with national- and regional-level CIKR prevention, protection, response, and restoration efforts.

Tribal governments are responsible for public health, welfare, safety, CIKR protection, and continuity of essential services within their jurisdictions.

Local governments usually are responsible for emergency services and first-level responses to CIKR incidents. In some sectors, local governments own and operate CIKR such as water, wastewater, and storm water systems and electric utilities, and are responsible for initial prevention, response, recovery, and emergency services provision.

Private-sector CIKR owners and operators are responsible at the corporate and individual facility levels for risk and incident management planning, security, and preparedness investments. Other activities that form part of business and continuity of operations planning activities include:

- Developing and revising business continuity and emergency management plans to address direct effects of incidents and critical dependencies and interdependencies at sector, enterprise, and facility levels.
- Building increased resiliency, backup capabilities, and redundancy into business processes and systems.
- Maintaining coordination with incident management, information-sharing, and CIKR protection programs.
- Reporting CIKR status using established mechanisms for inclusion in the national common operating picture (COP).
- Developing and coordinating CIKR protective and emergency-response actions, plans, and programs.
- Guarding against insider threats.
- Providing technical expertise to DHS, SSAs, ESFs, and other Federal, State, tribal, and local entities.
- Identifying CIKR and prioritizing related protection and restoration activities.

## ORGANIZATION

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### National Level

National organizational structures described in the *NRF* and *NIPP* provide formal and informal mechanisms for public- and private-sector coordination, situational awareness, impact assessments, and information sharing in regard to CIKR-related concerns on a sector-by-sector and/or a cross-sector basis.

This coordination allows for broader engagement in one or more affected sectors. It also allows sectors to plan for and quickly react to far-reaching effects from an incident (or multiple incidents) and to alert individual owners and operators of the need to take specific actions to minimize impacts.

CIKR support at the national level involves active participation and coordination across a variety of activities to include the exchange of liaisons, implementation of reporting and information-sharing protocols, and/or physical representation, as required, at the following:

- **National Operations Center (NOC).** Representatives are assigned to various components of the NOC to provide CIKR subject-matter expertise and facilitate coordination, risk assessment, protective measure implementation, and information sharing. These representatives work with SSAs and ESF counterparts to ensure that coordinated CIKR-related communications, planning, and responses occur. (The *NRF* core document provides further discussion of NOC components and functions.)
- **National Response Coordination Center (NRCC).** DHS/OIP assigns a liaison to the NRCC to provide CIKR protection and incident management subject-matter expertise and direct connectivity to the National Infrastructure Coordinating Center, DHS/OIP risk assessment entities, SSA and ESF primary and supporting agencies, and Infrastructure Liaisons deployed to support Joint Field Office functions.
- **National Infrastructure Coordinating Center (NICC).** The NICC is a 24/7 watch coordination center providing integrated CIKR-related situational awareness and national-level coordination for SCCs, SSAs, owners and operators, and relevant regulatory authorities. The NICC collects sector and cross-sector status information and produces consolidated CIKR reports for incorporation into the Federal interagency COP that is produced by the NOC. During incident response, the NICC works closely with the NRCC to enable overall Federal CIKR response coordination and emergency management program implementation.
- **Department of Justice (DOJ)/Federal Bureau of Investigation (FBI) Strategic Information and Operations Center (SIOC).** DHS/OIP designates representatives, as required, to serve as liaisons to the DOJ/FBI SIOC, which is the focal point and operational control center for all Federal intelligence, law enforcement, and investigative law enforcement activities related to domestic terrorist incidents or credible threats, including leading attribution investigations. The CIKR representatives provide situational awareness, assessment, information-sharing support, and reach-back relating to CIKR status, risk, consequences, and national-level sector and cross-sector priorities.
- **National Coordinating Center for Telecommunications (NCC).** The NCC is a joint government-industry sector forum that provides a mechanism for jointly responding to National Security and Emergency Preparedness (NS/EP) and other communications incidents. The NCC is the operational component of the National Communications System (NCS) and the lead Federal office for communications incident management. (Further details on the NCC and NCS are included in the ESF #2 – Communications Annex.)

- **United States Computer Emergency Readiness Team (US-CERT).** US-CERT is a 24/7 single point of contact for cyberspace analysis, warning, information sharing, incident response, and recovery for security partners. The partnership between DHS and public and private sectors is designed to enable protection of cyber infrastructure and to coordinate the prevention of and response to cyber attacks across the Nation. (Further information on US-CERT incident-related activities is included in the Cyber Incident Annex.)
- **Other Federal Department and Agency Emergency Operations Centers (EOCs).** DHS/OIP designates liaisons, as required, to various Federal EOCs depending on the nature of the threat or incident.

The CIKR support actions described in this annex are applicable to incident management activities required for natural disasters, industrial accidents, and the full spectrum of terrorist events. The CIKR support activities are flexible and adaptable to align to the specific requirements of the incident and function in conjunction with processes as described in the *NRF* and the various Incident Annexes: Biological, Catastrophic, Cyber, Food and Agriculture, Mass Evacuation, Nuclear/Radiological, and Terrorism Incident Law Enforcement and Investigation.

### Field Level

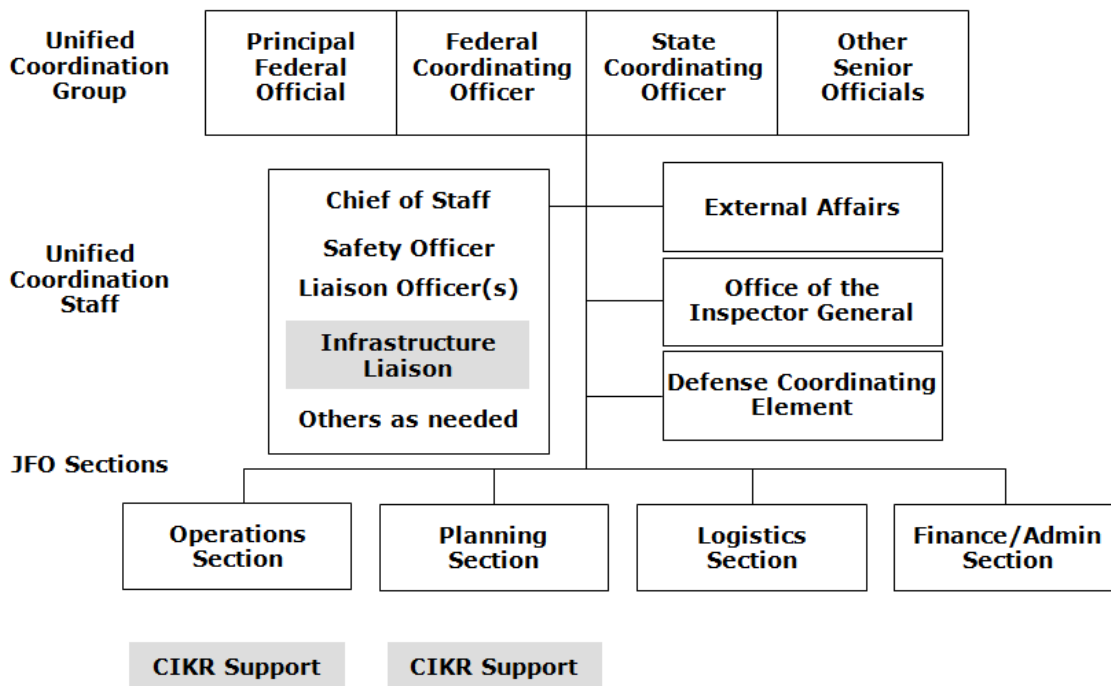
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The Joint Field Office (JFO), when established, provides the focal point for field-level incident-related CIKR identification, assessment, prioritization, protection, and restoration activities.

CIKR support is also provided, as required, to other incident facilities that are established to support prevention, preparedness, response, and recovery activities. These facilities include, but are not limited to: State, tribal, local, or county EOCs; Incident Command Posts; Area and Unified Commands; and interim operating facilities.

The following section describes the integration of the Infrastructure Liaison functions to support the various JFO sections or field facilities, as well as day-to-day risk management expertise provided by DHS/OIP. (See Figure 1.)

Figure 1. JFO Organization



The Infrastructure Liaison is designated by DHS/OIP and advises the Principal Federal Official (PFO) (if appointed) and the Unified Coordination Group with regard to national- and regional-level and cross-sector CIKR incident-related issues.

The Infrastructure Liaison function is task organized and task dependent on the needs of the incident and the requirements of the PFO, the Unified Coordination Group, and the Incident Management Team.

The Infrastructure Liaison, in collaboration with SSAs and all activated ESFs, provides prioritized recommendations regarding CIKR concerns to the Unified Coordination Group and the PFO (if appointed). The prioritized CIKR recommendations are developed using a collaborative process involving the cooperating agencies to this annex as well as CIKR owners and operators; State, tribal, and local entities; and others as appropriate. The prioritized recommendations are used by the Unified Coordination Group to support incident-related decisionmaking processes and the efficient application of limited resources within the affected area.

The Infrastructure Liaison provides knowledge and expertise regarding unique CIKR considerations, including:

- Impacts to nationally and regionally critical CIKR within the incident area.
- Cross-sector impacts within the incident area.
- Cascading effects that can result in consequences beyond the immediate incident area.
- Interdependencies that require actions beyond those needed for infrastructure restoration within the incident area.

## Critical Infrastructure and Key Resources Support Annex

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- Potential gaps or overlapping responsibilities among Federal departments and agencies that may function as SSAs, ESF primary or supporting agencies, or statutory or regulatory authorities.<sup>11</sup>

Infrastructure Liaison responsibilities include the following:

- Advising the Unified Coordination Group and the PFO, if appointed, on CIKR issues with national or regional implications or that involve multiple CIKR sectors.
- Acting as the coordination point for CIKR sectors, including private-sector owners and operators that are not otherwise represented in the JFO.
- Serving as the senior advocate in the Unified Coordination Staff for CIKR issues not otherwise raised through the Unified Coordination Group.
- Advising the Unified Coordination Group regarding the prioritization of CIKR protection and restoration issues.
- Providing additional coordination and liaison capabilities to the CIKR sectors for the Unified Coordination Group in addition to the coordination and liaison functions provided by the various ESFs.
- Working with the JFO Section Chiefs and Branch Directors to coordinate between and among CIKR sectors and ESFs.
- Ensuring that information obtained from the NICC and CIKR sectors is integrated into the overall COP for the incident.
- Ensuring sensitive CIKR-related information is handled and safeguarded in accordance with the Protected Critical Infrastructure Information (PCII)<sup>12</sup> Program, Chemical-terrorism Vulnerability Information (CVI),<sup>13</sup> or other appropriate guidelines.

The Infrastructure Liaison assigns personnel as requested by the Unified Coordination Group to facilitate cross-sector and sector-related coordination and integration among ESFs, SSAs, appropriate Federal agencies and departments, and other entities with CIKR-related responsibilities.

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<sup>11</sup> See Responsibilities section for discussion of SSA and ESF functions and a matrix of Federal department and agency functions.

<sup>12</sup> The PCII Program, which operates under the authority of the Critical Infrastructure Information (CII) Act of 2002, provides a means for sharing private-sector information with the government while providing assurances that the information will be exempt from public disclosure and will be properly safeguarded. This program defines the requirements for submitting critical infrastructure information as well as the requirements that government entities must meet for accessing and safeguarding PCII.

<sup>13</sup> DHS identifies information that constitutes Chemical-terrorism Vulnerability Information (CVI) to include the following documents when submitted as part of the 6 CFR 27 regulatory compliance process: Security Vulnerability Assessments (SVAs); Site Security Plans (SSPs); documents relating to the Department's review and approval of SVAs and SSPs, including Letters of Authorization, Letters of Approval, and responses to them; written notices; and other documents developed to comply with the interim final regulations; Alternative Security Programs; documents related to inspections and audits; records required to be created and maintained by regulated facilities; sensitive portions of orders, notices, or letters; information developed pursuant to the Top-Screen process; and other information designated as CVI by the Secretary.



## Critical Infrastructure and Key Resources Support Annex

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DHS/OIP, in coordination with SSAs, provides training and designates Infrastructure Liaisons and other CIKR support from a group that includes DHS/OIP Headquarters and/or field-level staff such as DHS/OIP Protective Security Advisors (PSAs)<sup>14</sup> and individuals with CIKR expertise from other Federal departments and agencies, including SSAs and ESFs, as appropriate.

Infrastructure Liaison functions are task oriented depending on the scope, magnitude, and complexity of the CIKR-related requirements. These functions include, but are not limited to:

- Assisting with onsite assessments of the status of potentially affected or impacted CIKR.
- Deploying to other locations, such as State or local EOCs or the JFO, to provide CIKR subject-matter expertise.
- Providing assessments of local CIKR status to the JFO based on direct observation and coordination with ESFs and CIKR owners and operators.
- Providing CIKR-protection expertise in support of ESF #13 – Public Safety and Security efforts within an impacted area.
- Coordinating with SSAs, ESFs, and appropriate Federal agencies and departments on damage and security assessments to promote communication of assessment results and minimize duplication of effort.

### CIKR Support for Incident Management Actions

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The CIKR support function is structured to apply the *NIPP* risk management framework to produce prioritized recommendations for CIKR protection and restoration in the context of incident management. DHS, cooperating agencies, and other government and private-sector security partners continuously conduct situational awareness, assessments, analyses, and information-sharing activities and facilitate requests for information and assistance through steady-state activities to better prepare for response, recovery, and restoration actions during an incident.

Key elements of these “steady-state” CIKR support missions include:

#### **Situational Awareness**

- Monitoring information flow and threats to become aware of an incident or potential incident.
- Reviewing CIKR data and data inventories.
- Identifying opportunities for mitigation.
- Identifying appropriate response posture for CIKR elements and resources.

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<sup>14</sup> PSAs are DHS locally based critical infrastructure and vulnerability assessment specialists assigned to local communities throughout the country. PSAs serve as CIKR liaisons between Federal agencies; State, tribal, and local governments; and the private sector. They contribute to *NIPP*- and *NRF*-related requirements by identifying, assessing, and monitoring CIKR and coordinating protective activities within their respective geographic areas during steady-state operations as well as during incidents.

### Assessments and Analyses

- Leveraging institutional knowledge and sector-partner relationships to collect data and assess CIKR needs and vulnerabilities.
- Collaborating in preparation for more indepth assessments and analyses during an incident.
- Reviewing plans to assess projected impacts on CIKR within a potential incident area.
- Developing projected consequences locally, regionally, and nationally by applying the *NIPP* risk management framework to the National Planning Scenarios.

The National Infrastructure Simulation and Analysis Center (NISAC) provides advanced modeling and simulation capabilities for the analysis of CIKR vulnerabilities and interdependencies and the cascading effects of infrastructure loss, damage, or destruction over time based on the National Planning Scenarios.

### Information Sharing

- Participating in multidirectional information flow between government and private-sector security partners.
- Developing and providing a comprehensive COP of threats and hazards to CIKR.
- Providing security partners with a robust communications network, including a common set of communications, coordination, and information-sharing capabilities.
- Providing a means for State, tribal, local, and private-sector security partners to be integrated, as appropriate, into the intelligence cycle.

### Requests for Information/Assistance

- Facilitating real-time transmission of requests and status.
- Maintaining a comprehensive log and retrievable database of all requests.

During daily operations (non-incident related), the NICC disseminates a range of all-hazards products and CIKR protection information to security partners. Information dissemination includes the following:

- Threat-related and other all-hazards information products to government and private-sector CIKR security partners, as appropriate.
- Reports from the private sector on suspicious activity or potential threats to the Nation's CIKR.
- Requests for information and requests for assistance.

### Preresponse/Initial Actions

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Transition from steady-state to preresponse incident-related activities begins with warning of a potential incident or the notification of an incident.

### CIKR Information, Assessment, and Analytical Products

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Examples of DHS information, assessment, and analytical products include:

- **Incident Reports:** Evaluate information received initially through news media, Internet, CIKR owners and operators, and other sources.
- **Spot Reports:** Provide current situation status and operational snapshot assessment of operational CIKR effects from emerging incidents.
- **Threat Warnings:** Fuse all source information to provide analysis of emergent threats on a timely basis.
- **Terrorist Target Selection Matrix:** Identifies sectors prone to different terrorist attack modalities.
- **Attack-Specific Threat Scenarios:** Provide planning and exercise phases for possible attacks with inputs from corporate- or facility-level security officers.
- **Sector-Specific Threat Assessment:** Provides specific and general terrorist threat information for each sector, as well as relevant background information, such as terrorist objectives and motives as they apply to that sector.

#### Notification and Reporting

DHS, in coordination with the SSAs, is responsible for coordinating CIKR incident notification and information sharing among Federal agencies; State, tribal, and local entities; and CIKR owners and operators. DHS uses established systems, such as the Homeland Security Information Network (HSIN), COP, Critical Infrastructure Warning Network, and other sector-based information-sharing mechanisms, to create CIKR situational awareness in support of incident operations.

Upon notification from the NOC of a potential or actual incident, the NICC coordinates with the SSAs, CIKR sectors (GCCs and SCCs), ESFs, industry partners, and other established information-sharing mechanisms to communicate pertinent information.

Based on the nature and scope of the potential or actual incident, DHS/OIP alerts and, if required, deploys Infrastructure Liaisons or additional CIKR support to various NOC elements, the DOJ/FBI SIOC, other Federal EOCs, or field facilities to ensure full integration of CIKR considerations and to provide situational awareness, assessments, information sharing, and prioritized recommendations.

In support of NOC reporting requirements, the NICC serves as the overall Federal focal point for CIKR incident and status reporting from SSAs, ESFs, CIKR owners and operators, and other appropriate Federal and/or State departments and agencies. The NICC coordinates these inputs with the NRCC and JFO. The following actions occur when reporting starts:

- The NICC alerts SSAs that the reporting process has begun via the Infrastructure Protection Executive Notification Service.
- SSAs coordinate with SCCs, GCCs, ESFs, and established information-sharing and analysis mechanisms in their sector to initiate status reporting and impact assessments. (These can include various sector-identified information-sharing mechanisms such as Information Sharing and Analysis Centers (ISACs) or Information Sharing and Analysis Organizations

(ISAOs).)

- The NICC verifies reported information and compiles the CIKR Situation Report, which is included in the NOC COP and posted to the HSIN.
- Cooperating agencies are responsible for notifying DHS when they receive threat- or incident-related information from within their sectors. The NICC documents these reports, compiles additional details surrounding the suspicious activity or potential threat, and disseminates reports to the CIKR sectors, the NOC, the NRCC, the DHS Homeland Infrastructure Threat and Risk Analysis Center (HITRAC), and DOJ/FBI.

CIKR-related threat analysis is a collaborative function between the DHS Office of Intelligence and Analysis (OI&A) and OIP through the DHS HITRAC, which conducts integrated terrorism threat and risk analysis for all CIKR sectors.

DHS/OI&A works with the intelligence and law enforcement communities to assess national security threats.<sup>15</sup> HITRAC brings together both intelligence and infrastructure specialists to provide an understanding of CIKR sector- and national-level risk. This collaborative function is carried out with:

- Input from private-sector liaison personnel, and on-call subject-matter experts who provide industry-specific expertise.
- Input from the intelligence and law enforcement communities.
- Coordination with existing entities such as NCC, US-CERT, GCCs, SCCs, SSAs, ESFs, and/or other sector-identified information-sharing and analysis organizations such as ISACs.

On the basis of HITRAC analysis, DHS produces information that supports the response to emergent threats or immediate incidents, as well as strategic planning activities focused on enhancing the protection of CIKR over the long term.

CIKR risk assessment and analysis is a collaborative effort between DHS, cooperating agencies to this annex, and other security partners to perform the following:

- Examine existing plans and infrastructure characteristics to assess projected or actual impacts on CIKR in potential incident areas or on CIKR that have been designated as high risk.
- Determine critical failure points within or across CIKR sectors, regional or national cascading effects, and other significant issues that could affect CIKR assets inside and outside the immediate incident area.

The risk assessment and analysis process uses empirical data collection, database development and assessment, modeling, and simulation to inform decisionmaking.

These assessments and analyses support CIKR protection and mitigation actions prior to an incident and timely response actions during an incident. Results of assessments and analyses are provided to the NICC, SSAs, ESFs, emergency managers, CIKR owners and operators, and appropriate Federal and State departments and agencies.

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<sup>15</sup> See the Terrorism Incident Law Enforcement and Investigation Annex in the *NRIF* for a complete discussion on threat investigation-related actions.

DHS assessments, excluding PCII information, are shared across the sectors through electronic dissemination, posting to HSIN portals, and direct outreach by DHS/OIP sector specialists and DHS/HITRAC analysts. These efforts provide the private sector with timely, actionable information to enhance situational awareness and enable security planning activities

The *NIPP* details protective programs and initiatives that provide the basis for CIKR risk assessment activities during incident management. The following are representative of these key processes:<sup>16</sup>

- **National Asset Database (NADB):** Comprehensive catalog of the Nation's assets, systems, and networks and the primary Federal repository for CIKR information.
- **Buffer Zone Protection Program:** Grant program to provide resources to State, tribal, and local law enforcement and other security professionals to enhance security of priority CIKR facilities.
- **Site Assistance Visits:** Facility-level security assessments to facilitate vulnerability identification and mitigation discussions.

The NISAC provides advanced modeling and simulation capabilities for the analysis of CIKR vulnerabilities and interdependencies and the cascading effects of infrastructure loss, damage, or destruction over time.

During emerging or actual incidents, the NISAC produces assessments that:

- Integrate current situation data with preestablished infrastructure modeling, simulation, and analysis.
- Project consequences of an incident, preincident or postincident.
- Inform response and recovery activities after an incident has occurred.

Additional CIKR support preremponse actions include:

- Testing and exercising information-sharing and communication processes and systems with CIKR protection security partners.
- Developing and testing continuity of business plans, including identification and preparation of alternate sites and backup locations, as appropriate.
- Recommending and implementing elevated protective measures to align the CIKR protective posture with all-hazards warnings, specific threat indications, and different levels of the HSAS.
- Preparing the Infrastructure Liaison and CIKR support to deploy to the JFO.

## RESPONSE ACTIONS

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CIKR situational awareness and reporting are essential to providing a consolidated COP during an incident. The NICC provides coordinated CIKR status and infrastructure-related information supporting the COP by serving as the national collection, reporting, and distribution point for CIKR-related information.

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<sup>16</sup> See Appendix 3B in the *NIPP* for a complete listing and description of each.

The NICC provides a focus on CIKR-related impacts both within the incident area and across the Nation as a whole. It provides mechanisms to integrate and cross-reference CIKR-related information from various official sources to minimize duplicative reporting and information collection.

In support of incident response, the NICC performs the following:

- Hosts a daily teleconference to provide owners and operators and SSAs, ESFs, other Federal departments and agencies, and State, local, and tribal governments with a collated CIKR status and facilitates cross-sector discussions.
- Provides tailored situation assessments for the CIKR section of the DHS Situation Report.
- Facilitates assessment sessions between SSAs; State, local, and tribal governmental entities; and DHS Sector Specialists.
- Reconciles CIKR information and reporting with the NRCC.
- Consolidates SSA reports for integration into overall national-level reporting, including the COP.
- Provides security partners with Web-enabled access to a variety of incident-related information.

SSAs, ESFs, and other Federal departments and agencies maintain situational awareness of their area of responsibility and factor information from official field-level sources into their overall sector-level reporting.

Established protocols for SSA CIKR reporting include producing field-level reports (as applicable) and analyzing the national-, regional-, and sector-level CIKR implications. All information is coordinated with appropriate entities. These products are created for, but not limited to, the following categories of information:

- Current status/damage assessments
- Restoration activities
- Key issues and concerns

CIKR incident reporting cycles are synchronized with the overarching reporting requirements established by the NOC and NRCC at the national level and by the JFO or multiple JFOs, as required, at the field level.

Field-level reporting on damage assessments and status of restoration efforts within the affected area is generally through the ESF structure, using established reporting protocols at the JFO and the NOC/NRCC. These field-level reports are the basis for CIKR-related damage assessments and response and recovery activities.

**CIKR Incident-Related Assessments.** When an incident occurs, assessments of sector-specific and cross-sector impacts are coordinated by DHS/OIP in collaboration with SSAs, GCCs, SCCs, ESFs, other appropriate agencies, and security partners. The assessments are supported by the integration of multiple data sets, to inform decisionmakers at all levels as they develop action recommendations.

DHS/OIP uses the *NIPP* risk management framework to analyze the implications that CIKR affected by the incident may have on a regional or national basis. These include assessments to determine:

- Risk (consequence, vulnerability, and threat).
- Interdependencies.<sup>17</sup>
- Cascading or secondary effects on critical systems or infrastructure.
- Impact analyses inside and outside the affected area.

At the national level, the NISAC may conduct updates to existing assessments or perform new assessments to provide the most current situation data to decisionmakers.

NISAC products are made available to the NOC Planning Element, the Unified Coordination Group through the Infrastructure Liaison, and, as appropriate, other incident management and security partners involved in response activities.

Information included in the NADB is used to facilitate CIKR identification within the impacted area and across the Nation that may be directly or indirectly affected by the cascading effects of the incident.

Regional-level assessments during response activities help inform leadership as to the best possible prioritization for CIKR recovery and restoration.

Damage assessments are conducted by various teams that survey and assess impacts to CIKR. The teams include, but are not limited to, the following:

- Joint preliminary damage assessment teams (provide estimate of damages eligible for Federal assistance under the Stafford Act).
- Engineering teams (assess impacts to specific CIKR).
- Building process engineering teams (analyze structural vulnerability and potential mitigation recommendations).
- Environmental impact assessment teams.

The Infrastructure Liaison may provide CIKR expertise and analyses to these teams as required.

The Infrastructure Liaison, in consultation with SSAs, ESF representatives, and others, as well as DHS/OIP representatives positioned within the various NOC components, develops and provides priorities recommendations for CIKR-related actions to the Unified Coordination Group. These recommendations are based on ongoing access to national-level risk assessment and evaluation tools used to provide sector-by-sector and cross-sector evaluations of risk to and effects on CIKR within and outside the incident area. These assessments are used to analyze CIKR protection and restoration needs, support the efficient prioritization of efforts to meet these needs, and monitor the execution of support to CIKR owners and operators.

Requests for assistance from CIKR entities for incident-related requirements can be addressed through direct actions by owners and operators or with government assistance provided by

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<sup>17</sup> Interdependency as defined in the *NIPP* is the multi- or bi-directional reliance of an asset, system, network, or collection thereof, within or across sectors, on input, interaction, or other requirement from other sources in order to function properly.

Federal, State, tribal, or local authorities in certain specific circumstances. These requests must be directed to the appropriate Federal, State, tribal, and/or local decisionmakers with authority to consider and adjudicate requirements in the context of competing priorities.

At the State, tribal, or local level, requests for assistance from CIKR owners and operators typically will be acted upon by State or local primacy or regulatory agencies and/or within multiagency coordination centers in the affected area, such as the State or local EOC. CIKR owners and operators of public or quasi-public infrastructure in the affected area are required to follow the established application process for Stafford Act assistance.

At the Federal level, requests may be addressed through existing authorities of Federal departments or agencies or through application of the Stafford Act. The JFO, when activated, is the Federal focal point at the field level for considering, adjudicating, and acting upon requests for assistance. In cases where a JFO has not been established, the NRCC provides the national-level forum for decisions and actions relating to the Federal assistance or resource support.

The Federal Coordinating Officer or Federal Resource Coordinator at the JFO (or the Operations Section Chief at the NRCC before establishment of a JFO) determines whether a request submitted by the State on behalf of a CIKR owner or operator or by a Federal department or agency through ESF #5 – Emergency Management is valid and supportable.

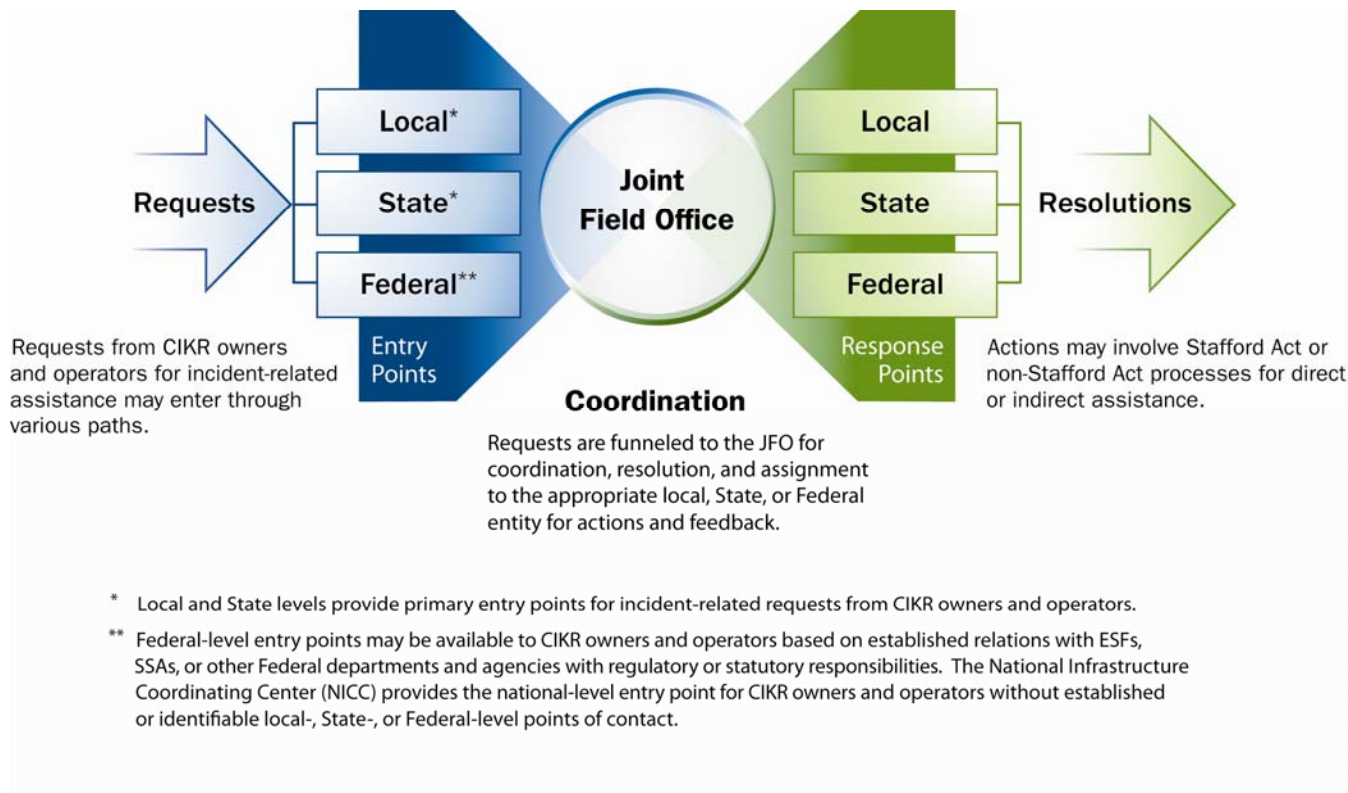
When the request involves application of Stafford Act authorities, the determination is based on consideration of a number of factors that include, but are not limited to, the following questions:

- Is assistance essential to public health and safety?
- Is a specific authority, such as the Stafford Act or DPA, needed for the request?
- Does the JFO have the capability to provide resources through Stafford Act authorities or to facilitate non-Stafford Act coordination to meet the requirement?
- Does the request align with current response, recovery, and restoration priorities established by the Unified Coordination Group or through the NRCC if the JFO is not established?
- Is the Federal Government the most appropriate level to provide resources to meet the requirement? If so, what ESF is the most appropriate to coordinate the request?
- What is the reimbursement mechanism for ESF or other Federal department or agency support?
- Which other officials are participating in the Unified Coordination Group or at the national level and are able to commit agency authorities or resources that would be needed to support the request?
- Does the request align with the current incident-management priorities?
- Does the requester have the capability to provide resources on its own?
- Are there alternative means and timing available to provide the requested assistance?
- What are the benefits or costs of providing assistance to a local community's resources, capabilities, and/or economy and meeting critical regional or national CIKR needs?



- What are the benefits or costs to a community or region of redirecting the requested resources or capabilities from other requirements?

**Figure 2. Requests for Assistance From CIKR Owners and Operators**



CIKR-related requests for incident-related assistance may come in through various paths at the local, State, regional, or national level. (See Figure 2.) Requests for assistance or information from CIKR owners and operators may relate to a variety of incident-related needs such as requirements for security, impact area access, fuel, or accommodations for crews needed to perform critical repair work.

Regardless of the entry point, requests are coordinated, tracked, and channeled to the appropriate authorities and CIKR subject-matter experts from the appropriate cooperating agencies for resolution and determination of the best course of action.

Generally, State, tribal, and local authorities and/or SSAs, ESF primary or supporting agencies, or other Federal Government entities, including those with regulatory responsibilities, provide primary entry points for these requests.

Entry points and processing paths, depicted in Figure 2 above, are as follows:

- Local, State, and tribal officials, in most cases, determine the appropriate level at which to consider and/or coordinate support to ensure the most effective response to requests for assistance from private-sector CIKR owners and operators. Local authorities may elect to fill valid requests using local resources. If local resources are not available, they may utilize mutual aid and assistance agreements to access additional resources.

- If all local resources are depleted, including those that can be acquired through mutual aid and assistance agreements, then local officials may forward the request to the State for action. The State may also elect to fill valid requests using its assets or request support from another State using the Emergency Management Assistance Compact or other preestablished memorandums of understanding. If assistance is not available at the State level, officials may forward the request to the JFO (or Regional Response Coordination Center (RRCC) or NRCC if the JFO is not established) to determine whether the request is eligible for Federal assistance.
- In CIKR sectors where there is no primary State or local point of contact, representatives of the various ESF, SSA, and/or Federal regulatory authorities positioned within the NRCC, RRCCs, and/or the JFO serve as points of contact. In these sectors, owners and operators communicate requests through the established relationship with the Federal department or agency that has primary responsibility for a specific functional area. The SSA and/or ESF may address a CIKR-related request it deems to be valid using its own authorities or resources, if applicable, or may forward the request to the NRCC or the JFO through ESF #5 for further consideration.

The NICC provides an alternate avenue for CIKR owners and operators to communicate needs for assistance, and is the most appropriate path in situations in which CIKR owners and operators do not have either mechanisms for coordination at the local or State levels or established linkages to ESFs, SSAs, or other Federal entities that can help communicate and facilitate the requests. The NICC is the appropriate point of entry in the following circumstances:

- Before JFO establishment.
- National-level, nongeographic-specific incidents that do not require JFO establishment (such as response to a terrorist threat or a biological, agricultural, or other widespread incident).
- Specific CIKR asset, system, network, or function of national significance based on scope or potential impact or criticality to national security or economic vitality.

Requests submitted to the NICC are routed, as appropriate, through the NRCC or the Unified Coordination Group, and the Infrastructure Liaison for coordination with the appropriate ESF, SSA, and other coordinating and cooperating agencies.

The NICC maintains an automated log of all requests for assistance or information it has processed. This log is shared with the Infrastructure Liaison at the JFO and DHS/OIP to maintain ongoing situational awareness, avoid duplication of effort, and enable coordination of actions relevant to the request.

Prior to full activation of the JFO, the NICC works closely with the NRCC to coordinate requests for assistance from CIKR owners and operators.

**Activation and Deployment.** DHS/OIP, in coordination with the NRCC and the JFO, designates and deploys staff to support Infrastructure Liaison activities at the national and field levels. These deployed field elements maintain close coordination with national elements at the NOC, NRCC, and NICC.

The Infrastructure Liaison(s) support prevention, preparedness, response, and recovery in the following manner:

- Facilitating CIKR situational awareness, assessment, and information sharing by providing liaison with the DOJ/FBI SIOC and other Federal EOCs, initial operating facilities, or other incident management facilities established consistent with the specific threat or incident.
- Facilitating the CIKR information-sharing process through coordination with JFO sections, ESF and sector representatives, CIKR owners and operators, and other security partners at the field level.
- Providing information on CIKR risk, damage, and service disruption within the impact area. This information is coordinated with national elements outside the affected area including identification of CIKR that may pose a higher level of concern as a result of the incident.
- Facilitating development of courses of action relating to CIKR restoration to provide continuity of essential goods and services.
- Providing a point of contact for CIKR sectors that do not have direct alignment with a specific ESF (such as postal and shipping, commercial facilities, and national monuments and icons).
- Participating, as requested, in preliminary damage assessments, rapid needs assessment, Federal Incident Response Support Teams, and others.
- Coordinating with ongoing damage and security assessments to eliminate duplication of effort and promote sharing of assessment results.
- Providing situational awareness in regard to CIKR assets and cross-sector concerns to the JFO, in coordination with the NRCC and DHS/OIP.
- Participating in JFO senior leadership and activities required for the operational planning cycle and development of the Incident Action Plan.
- Monitoring execution of support to CIKR entities as required by the Incident Action Plan.
- Following processes to ensure the proper handling and safeguarding of sensitive CIKR-related information in accordance with PCII, CVI, or other appropriate guidelines.
- Assessing CIKR protection and restoration needs to support efficient prioritization of efforts to meet requirements.
- Directing activities of DHS/OIP field staff in geographic branches (as designated by the JFO) based on priorities established by the Infrastructure Liaison.
- Resolving information discrepancies relating to status of CIKR restoration and protection activities in various sections of the JFO.
- Participating in JFO "hotwashes" to identify CIKR-related issues.<sup>18</sup>
- Maintaining automated linkage to the NICC.
- Tracking and coordinating with ESFs and SSAs on private-sector requests for assistance and requests for information when required to provide cross-sector facilitation.

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<sup>18</sup> Interagency meetings called "hotwashes" are convened to identify critical issues, lessons learned, and best practices associated with incident management activities. Hotwashes typically are conducted at major transition points over the course of incident-related operations, and include Federal, State, tribal, local, and other participation as appropriate.

- Coordinating with ESFs, SSAs, and appropriate Federal agencies to identify and aggregate CIKR-related concerns and security requirements.

The Infrastructure Liaison develops CIKR protection and restoration priority recommendations in coordination with JFO Section Chiefs or Branch Directors and representatives of ESF primary and supporting agencies. Infrastructure Liaison coordination activities with ESF representatives include:

- Developing coordinated inputs for the Incident Action Plan.
- Coordinating with activated ESFs on recovery, restoration, and security requirements, specifically to include coordinating with:
  - ESF #1 for transportation infrastructure.
  - ESF #2 on the status of communications infrastructure operations.
  - ESF #3 on infrastructure risk and vulnerability assessments.
  - ESF #8 on status and impacts on the public health and medical community.
  - ESF #10 on CIKR facility or structure decontamination for incidents where they have been contaminated by hazardous materials.
  - ESF #11 on agricultural, natural and cultural resources, and historic properties issues.
  - ESF #12 on impact assessments for the energy infrastructure.
  - ESF #13 on efforts to analyze protection requirements and/or enhance security and protection measures for CIKR within and outside the affected area.
  - ESF #14 on long-term community recovery, including impacts on commercial and banking and finance entities.

(Further discussion of specific ESF responsibilities is included in the respective ESF Annexes to the *NRF*.)

**Incident-Related Communication, Including Emergency Public Information.** The DHS Office of Public Affairs (PA), at the national level, works in conjunction with DHS/OIP and the DHS Assistant Secretary for the Private Sector to provide timely public information to the CIKR sectors and their security partners (through conference call, e-mail, or both) during national-level incidents that require a coordinated Federal response.

The CIKR incident communications system is modeled after processes outlined in the *NRF* Public Affairs Support Annex to ensure coordination with Federal, State, tribal, and local entities.

DHS/PA communication actions include the following:

- Providing the overarching coordination lead for incident communications to the public during an incident requiring a coordinated Federal response.
- Maintaining a standing conference line for use by CIKR incident communications coordinators.
- Coordinating and disseminating line access information in coordination with DHS/OIP.
- Maintaining a contact list, including e-mail information, of CIKR incident communications coordinators.
- Coordinating with SSAs to share public information and messages for SCCs and GCCs.

DHS/PA works in coordination with ESFs and SSAs to identify organizations and/or individuals (e.g., SCCs, sector-identified information-sharing mechanisms such as ISACs, major trade associations and other private-sector organizations as appropriate, and State, tribal, and local regulatory entities) to act as focal points for incident communications with the private sector. These organizations and individuals are selected based on their ability to disseminate information to and coordinate with a broad array of other organizations and individuals.

Representatives serve as the primary reception and transmission points for incident communications products from DHS/PA, ESFs, and SSAs, and they retain responsibility for dissemination to counterpart communicators to ensure information is distributed widely.

### POSTRESPONSE ACTIONS

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As an incident is brought to closure, incident-related activities transition back from response to steady state. Concurrently, the after-action report is prepared.

**Demobilization.** CIKR-related liaison, coordination, and information-sharing activities continue in support of JFO functions as required and continue at a level consistent with ongoing efforts.

Infrastructure Liaison actions include the following:

- Participating in JFO “hotwashes” to identify critical CIKR-related issues.
- Evaluating CIKR support staffing requirements and making recommendations for redeployment of staff members to the Unified Coordination Group.
- Preparing plans for deactivation and transfer of responsibilities to DHS/OIP, the NICC, or other elements, as appropriate.
- Coordinating with the JFO Planning Section on CIKR-related long-term recovery efforts.
- Providing input to the local or regional demobilization strategy.
- Informing onsite leadership or a designated representative of the overall DHS/OIP demobilization strategy.

Non-DHS/OIP deployed response elements execute their respective organizational demobilization plans.

The NICC maintains the reporting and information-sharing processes in coordination with the NOC, NRCC, and JFO requirements. As requirements diminish, the NICC notifies cooperating agencies of reporting requirement changes and other incident-related activities throughout the incident closure process.

After-action reports are developed following an incident to detail operational successes, problems, and key issues affecting management of the incident. After-action reports include appropriate feedback from all Federal, State, tribal, local, nongovernmental, and private-sector partners participating in the incident.

Procedures to complete after-action reports include:

- DHS/OIP organizing and managing a template to capture CIKR data.

## Critical Infrastructure and Key Resources Support Annex

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- CIKR security partners collecting/collating and submitting relevant after-action data<sup>19</sup> throughout the incident life cycle.
- CIKR security partners participating in after-action evaluation sessions at the national and the regional levels.

DHS/OIP coordinates review meetings after the conclusion of the incident and publication of after-action reports to ensure that lessons learned concerning CIKR issues throughout the incident are accurately captured and integrated into plans, assessments, and procedures across all agencies.

The NICC ensures that after-action information is posted to the network and is available to security partners as appropriate.

## RESPONSIBILITIES

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### Coordinating Agency: DHS

DHS, as the department charged with overarching responsibility for coordination of CIKR identification, protection, and prioritization, is the coordinating agency for the CIKR Support Annex. In this context, DHS, in collaboration with SSAs, is responsible for the following:

- Developing plans, processes, guidance, and partnerships and facilitating coordinated CIKR protection with the private sector at the strategic, operational, and tactical levels both during steady-state, day-to-day operations and during incident response.
- Sharing and protecting information on sensitive CIKR-related matters such as threats, warnings, response activities, and operational status—before, during, and after an incident.
- Identifying, training, designating, and deploying personnel to support the Infrastructure Liaison role and staff members in the JFO and its area of operations.
- Informing and educating private-sector owners and operators; State, tribal, and local governments; and other security partners on *NRF* and *NIPP* content, and encouraging and facilitating the development and coordination of equivalent planning for CIKR protection both for steady-state operations and during an incident.
- Coordinating and conducting national and regional incident management exercises, training events, and working meetings with the private sector and State, local, tribal, and select foreign governments.
- Developing methodology to track requests for information from or assistance to CIKR facilities to help ensure that responding departments and agencies are aware of requests from or visits made to CIKR facilities.
- Developing, implementing, and operating information-sharing and communication strategies, processes, and systems with CIKR security partners.

### Cooperating Departments, Agencies, and Organizations

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This section discusses responsibilities of all cooperating agencies/organizations, including those that are specific to SSAs, ESFs, other departments and agencies, and CIKR owners and

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<sup>19</sup> Data relevant for after-action reports can originate from written reports, meeting notes, interviews, briefings, observations, communications, and other recordings.

## Critical Infrastructure and Key Resources Support Annex

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operators. In addition to the cooperating agencies designated in this section, departments and agencies with primary responsibility for each of the ESFs are responsible for developing and maintaining working relations with associated private-sector counterparts and for exercising ESF mechanisms to enable the recovery of CIKR. Cooperating agencies for this annex may concurrently have responsibilities as ESF primary or supporting agencies, or as coordinating or cooperating agencies for other *NRF* Support or Incident Annexes.

In accordance with the *NRF*, the range of responsibilities for cooperating agencies/organizations includes the following:

- Working in collaboration with CIKR private-sector security partners, owners, and operators.
- Conducting operations relating to CIKR identification, prioritization, and protection using their own or Stafford Act authorities, subject-matter experts, capabilities, or resources.
- Participating in planning for short-term and long-term CIKR-related incident management, response, recovery, and restoration functions and for the development of supporting operational plans, standard operating procedures, checklists, or other job aids.
- Providing available personnel, equipment, or other resource support, as appropriate.
- Participating in training and exercises aimed at continuous improvement of CIKR-related prevention, response, and recovery capabilities.
- Using established Incident Command System, EOC, NOC, and/or JFO information-sharing protocols to notify other agencies that may have overlapping responsibilities for a CIKR asset, system, or network of 1) intended actions concerning requests for information from or assistance to a CIKR facility, or 2) field visits to such facilities.
- Nominating to DHS for review and evaluation new technologies or procedures that have the potential to improve performance within or across CIKR protection functional areas.

### Sector-Specific Agencies

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In the context of this annex, SSAs are responsible for the following incident-related actions:

- Identifying, prioritizing, and coordinating Federal action in support of the protection of nationally critical assets, systems, and networks, with a particular focus on CIKR that could be exploited to cause catastrophic health effects or mass casualties.
- Collaborating with State and private-sector security partners to facilitate real-time incident notification, as well as CIKR protection expertise and risk assessment methods in the sector.
- Establishing coordination mechanisms for CIKR protection during response and recovery.
- Participating in planning and implementation of recovery measures, as required, in coordination with processes established in the *NRF* for related ESF Annexes and other Incident and Support Annexes.
- Providing comprehensive risk assessment and management programs, as appropriate and consistent with the unique sector landscape, that can be used for identifying protection priorities for incident-related situations.

## Critical Infrastructure and Key Resources Support Annex

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- Working with all security partners to develop plans and processes for threat-based increases in protective measures that align the CIKR protective posture to all-hazards warnings, specific threat indications, and the different levels of the HSAS.

### Emergency Support Functions

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In the context of this annex, ESF primary and supporting departments and agencies are responsible for developing and maintaining working relationships with associated State, local, tribal, and private-sector counterparts and exercising their ESF mechanisms to enable the recovery of CIKR. This includes, but is not limited to, the following:

- Establishing and implementing processes to ensure full integration of CIKR-related activities relevant to the specific ESF and including these processes in the respective ESF Annex to the *NRF*.
- Coordinating with CIKR owners and operators, as appropriate.
- Coordinating with the DHS/OIP representative at the NOC and with the JFO Infrastructure Liaison.
- Providing CIKR-related damage assessments and operating status in the affected area using established JFO and NOC reporting procedures.
- Responding to or coordinating CIKR-related requests for assistance as relevant to the specific ESF.

### COOPERATING AGENCIES/ORGANIZATIONS

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Agency	Functions
<b>Department of Agriculture (USDA)</b>	<ul style="list-style-type: none"><li>• Serves as the SSA for the Agriculture and Food Sector.</li><li>• Advises and assists in assessing impacts to meat, poultry, and egg products.</li></ul>
<b>Department of Commerce</b>	<ul style="list-style-type: none"><li>• Works with DHS and private-sector, research, academic, and government organizations to improve cyber system technology and promote other CIKR protection efforts, including use of authority under the DPA to ensure timely availability of industrial products, materials, and services to meet homeland security requirements and address economic security issues.</li><li>• Supports the Emergency Alert System through the National Oceanic and Atmospheric Administration (NOAA)/National Weather Service and provides public dissemination of critical preevent and postevent information over the all-hazards NOAA Weather Radio system, the NOAA Weather Wire Service, and the Emergency Managers Weather Information Network.</li></ul>
<b>Department of Defense (DOD)</b>	Serves as the SSA for the Defense Industrial Base Sector, when requested, and, upon approval of the Secretary of Defense, provides Defense Support of Civil Authorities (DSCA) during domestic incidents. Accordingly, DOD is considered a cooperating agency under this annex.
<b>Department of Education</b>	<ul style="list-style-type: none"><li>• Serves as the Subsector-Specific Agency for education facilities, providing guidance and information to the education community regarding emergency management for education facilities, both public and private.</li><li>• As a Subsector within the Government Facilities Sector (GFS), works with the GFS to help ensure the Education Subsector gets appropriate attention in steady-state protection efforts, as well as in the incident management environment.</li></ul>



## Critical Infrastructure and Key Resources Support Annex

Agency	Functions
<b>Department of Energy</b>	<ul style="list-style-type: none"> <li>Serves as the SSA for the Energy Sector.</li> <li>Maintains the United States continuous and reliable energy supplies through preventive measures as well as supporting restorative actions.</li> </ul>
<b>Department of Health and Human Services (HHS)</b>	<ul style="list-style-type: none"> <li>Serves as the SSA for the Public Health and Healthcare Sector.</li> <li>Through the Food and Drug Administration, serves as the SSA for food other than the meat, poultry, and egg products portion of the Food and Agriculture Sector.</li> <li>Is the primary agency for ESF #8 – Public Health and Medical Services coordinating resources for public health and medical services and serves as a support agency to ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services.</li> </ul>
<b>Department of the Interior (DOI)</b>	<ul style="list-style-type: none"> <li>Serves as the SSA for the National Monuments and Icons Sector.</li> <li>Advises and assists in assessing impacts to natural resources, habitats, wildlife, subsistence uses, public lands, Indian tribal lands, and cultural resources and historic properties.</li> </ul>
<b>Department of Justice</b>	Reduces terrorist threats and investigates and prosecutes actual or attempted attacks on, sabotage of, or disruptions to CIKR in collaboration with DHS.
<b>Department of Labor</b>	Through the Occupational Safety and Health Administration, provides worker safety advice, assistance, and policy support for CIKR-related activities.
<b>Department of State</b>	<ul style="list-style-type: none"> <li>Works with foreign governments and international organizations to strengthen U.S. CIKR protection efforts.</li> <li>When requested, provides liaison to USACE in the event of incidents having potential international implications.</li> <li>In accordance with the International Coordination Support Annex, coordinates international offers of public works and engineering assistance and support.</li> </ul>
<b>Department of Transportation (DOT)</b>	<ul style="list-style-type: none"> <li>Collaborates with DHS on matters of transportation security and transportation infrastructure protection, and is additionally responsible for operating the National Airspace System.</li> <li>Collaborates with DHS to regulate transportation of hazardous materials (all modes), including pipelines.</li> </ul>
<b>Department of the Treasury</b>	<ul style="list-style-type: none"> <li>Serves as the SSA for the Banking and Finance Sector and collaborates with other vital CIKR sectors to foster information sharing regarding cross-sector vulnerabilities and protective measures within the sector.</li> <li>Assesses incident impact to the Banking and Finance Sector.</li> <li>Provides expertise on the overall economic impact to CIKR.</li> <li>Serves as the Primary Economic Advisor to the President.</li> </ul>
<b>Department of Veterans Affairs</b>	<ul style="list-style-type: none"> <li>Contributes extensive expertise to both the Government Facilities and Public Health and Healthcare Sectors through active participation in its respective GCC.</li> <li>Serves as a supporting agency for a number of ESFs, providing coordination with the medical system as well as direct resources and support for incident management efforts.</li> </ul>
<b>Environmental Protection Agency (EPA)</b>	Serves as the SSA for the Drinking Water and Water Treatment Systems Sector.

## Critical Infrastructure and Key Resources Support Annex

Agency	Function
<b>Federal Energy Regulatory Commission</b>	<ul style="list-style-type: none"> <li>• Regulates interstate transmission of electricity, natural gas, and oil.</li> <li>• As an independent agency, reviews proposals to build liquefied natural gas terminals and interstate natural gas pipelines and licenses hydropower projects.</li> <li>• Through the Office of Dam Safety, regulates approximately 2,100 dams that generate electricity.</li> </ul>
<b>The Intelligence Community</b>	<ul style="list-style-type: none"> <li>• Provides vital service to identify and assess threats that may impact the Nation's CIKR.</li> <li>• With DOD and other appropriate Federal departments, such as DOI and DOT, collaborates with DHS on development and implementation of geospatial programs to map, image, analyze, and sort CIKR data.</li> <li>• Serves as a source of intelligence information necessary for CIKR protection. DHS works with Federal departments and agencies to identify and help protect those positioning, navigation, and timing services that are critical enablers for CIKR sectors.</li> <li>• Collaborates with DHS and other agencies, such as EPA, that manage data addressed by Geographic Information Systems.</li> </ul>
<b>Nuclear Regulatory Commission (NRC)</b>	<ul style="list-style-type: none"> <li>• Ensures the protection of the health and safety of the public or the common defense and security involving the use of NRC-licensed radioactive materials in commercial nuclear reactors for electric power generation and nonpower nuclear reactors for research, testing, and training; medical, industrial, and academic uses of radioactive materials, and facilities that fabricate nuclear fuel; and transportation, storage, and disposal of nuclear materials and waste.</li> <li>• Closely coordinates its actions with its licensees, DHS, other Federal agencies, and State and local government officials during radiological incidents by providing advice, guidance, and support as needed.</li> <li>• Performs independent assessments of incidents and potential offsite consequences and, as appropriate, provides recommendations concerning any protective measures.</li> </ul>
<b>Office of Science and Technology Policy</b>	Coordinates with DHS to further interagency research and development related to CIKR protection.
<b>U.S. Postal Service (USPS)</b>	<ul style="list-style-type: none"> <li>• Serves as a member of the Postal and Shipping Sector Coordinating Council; .</li> <li>• Works in cooperation and collaboration with the DHS Transportation Security Administration, the SSA for the Postal and Shipping Sector.</li> <li>• Collects and reports on damage and disruption to USPS facilities and operations as information becomes available.</li> </ul>
<b>Information Sharing and Analysis Center Council</b>	<ul style="list-style-type: none"> <li>• Supports sector-specific information and/or intelligence requirements for incidents, threats, and vulnerabilities.</li> <li>• Provides secure capabilities for members to exchange and share information on cyber, physical, or other threats.</li> <li>• Establishes and maintains operational-level dialogue with appropriate governmental agencies, identifying and disseminating knowledge and effective practices.</li> </ul>
<b>Partnership for Critical Infrastructure Security (PCIS)</b>	Coordinates cross-sector initiatives to support CIKR protection. The PCIS membership is comprised of one or more members and their alternates from each of the CIKR SCCs.
<b>State, Local, Tribal, and Territorial Government Coordinating Council</b>	Coordinates and communicates among State, local, tribal, and territorial homeland security communities to ensure that they are fully integrated in national CIKR protection planning and implementation. The SLTTGCC membership is comprised of senior representatives from State, local, tribal, and territorial agencies including homeland security advisors, decisionmakers, and CIKR stakeholders.

**APPENDIX A: SECTOR-SPECIFIC AGENCIES FOR CRITICAL INFRASTRUCTURE AND KEY RESOURCES**

The following list includes those Federal departments and agencies identified in HSPD-7 as responsible for CIKR protection activities in specified CIKR sectors.

**Table A-1. Sector-Specific Agencies for Critical Infrastructure and Key Resources**

<b>Sector-Specific Agency</b>	<b>Critical Infrastructure and Key Resources Sector</b>
<b>Department of Agriculture</b> <sup>20</sup> <b>Department of Health and Human Services</b> <sup>21</sup>	Agriculture and Food
<b>Department of Defense</b> <sup>22</sup>	Defense Industrial Base
<b>Department of Energy</b> <sup>23</sup>	Energy
<b>Department of Health and Human Services</b>	Public Health and Healthcare
<b>Department of the Interior</b>	National Monuments and Icons
<b>Department of the Treasury</b>	Banking and Finance
<b>Environmental Protection Agency</b>	Drinking Water and Water Treatment Systems <sup>24</sup>
<b>Department of Homeland Security</b> <i>Office of Infrastructure Protection</i>  <i>Office of Cyber Security and Communications</i>  <i>Transportation Security Administration</i> <i>Transportation Security Administration/U.S. Coast Guard</i> <sup>25</sup> <i>Immigration and Customs Enforcement/Federal Protective Service</i>	Chemical Commercial Facilities Dams Emergency Services Nuclear Reactors, Materials, and Waste Information Technology Communications Postal and Shipping Transportation Systems <sup>26</sup> Government Facilities

<sup>20</sup> USDA is responsible for agriculture and food (meat, poultry, and egg products).

<sup>21</sup> HHS is responsible for food other than meat, poultry, and egg products.

<sup>22</sup> Nothing in this plan impairs or otherwise affects the authority of the Secretary of Defense, including the chain of command for military forces from the President as Commander in Chief, to the Secretary of Defense, to the commander of military forces, or military command and control procedures.

<sup>23</sup> The Energy Sector includes the production, refining, storage, and distribution of oil, gas, and electric power, except for commercial nuclear power facilities.

<sup>24</sup> Drinking Water and Water Treatment Systems includes drinking water supply, treatment, and distribution; and wastewater collection, treatment, and disposal.

<sup>25</sup> DHS/U.S. Coast Guard is the SSA for the maritime transportation mode.

<sup>26</sup> As stated in HSPD-7, DOT and DHS will collaborate on all matters relating to transportation security and transportation infrastructure protection.

**APPENDIX B: RELATIONSHIP OF EMERGENCY SUPPORT FUNCTIONS TO CIKR SECTORS**

This table shows how the 15 Emergency Support Functions map to the 17 CIKR sectors.

**Table B-1. Relationship of Emergency Support Functions to CIKR Sectors**

Emergency Support Function	Related CIKR Sectors
<p><b>ESF Primary Agencies:</b>                      Coordinate Resources Support and Program Implementation for Response, Recovery, Restoration, and Mitigation programs directly related to incident management functions.</p>	<p><b>Sector-Specific Agencies (SSAs)</b>                      Coordinate efforts to protect the Nation’s CIKR from terrorist attacks and for helping to strengthen preparedness, timely response, and rapid recovery in the event of an attack, natural disaster, or other emergency.</p>
<p><b>ESF #1 – Transportation</b>   <b>Primary Agency:</b>                      Department of Transportation</p>	<ul style="list-style-type: none"> <li>• <b>Transportation Systems</b>  <b>SSA:</b> DHS/Transportation Security Administration</li> <li>• <b>Postal and Shipping</b>  <b>SSA:</b> DHS/Transportation Security Administration</li> <li>• <b>Emergency Services</b>  <b>SSA:</b> DHS/Infrastructure Protection</li> </ul>
<p><b>ESF #2 – Communications</b>   <b>Primary Agencies:</b>                      DHS/Cybersecurity and Communications/National Communications System                       DHS/Federal Emergency Management Agency</p>	<ul style="list-style-type: none"> <li>• <b>Information Technology</b>  <b>SSA:</b> DHS/Cybersecurity and Communications</li> <li>• <b>Communications</b>  <b>SSA:</b> DHS/Cybersecurity and Communications/National Communications System</li> <li>• <b>Emergency Services</b>  <b>SSA:</b> DHS/Infrastructure Protection</li> </ul>
<p><b>ESF #3 – Public Works and Engineering</b>   <b>Primary Agencies:</b>                      DHS/Federal Emergency Management Agency                       DOD/U.S. Army Corps of Engineers</p>	<ul style="list-style-type: none"> <li>• <b>Drinking Water and Water Treatment Systems</b>  <b>SSA:</b> Environmental Protection Agency</li> <li>• <b>Dams</b>  <b>SSA:</b> DHS/Infrastructure Protection</li> <li>• <b>Energy</b>  <b>SSA:</b> Department of Energy</li> <li>• <b>Emergency Services</b>  <b>SSA:</b> DHS/Infrastructure Protection</li> <li>• <b>Government Facilities</b>  <b>SSA:</b> DHS/Immigration and Customs Enforcement/Federal Protective Service</li> <li>• <b>National Monuments and Icons</b>  <b>SSA:</b> Department of the Interior</li> </ul>
<p><b>ESF #4 – Firefighting</b>   <b>Primary Agency:</b>                      USDA/Forest Service</p>	<ul style="list-style-type: none"> <li>• <b>Emergency Services</b>  <b>SSA:</b> DHS/Infrastructure Protection</li> <li>• <b>Government Facilities</b>  <b>SSA:</b> DHS/Immigration and Customs Enforcement/Federal Protective Service</li> </ul>
<p><b>ESF #5 – Emergency Management</b>   <b>Primary Agency:</b>                      DHS/Federal Emergency Management Agency</p>	<ul style="list-style-type: none"> <li>• <b>Emergency Services</b>  <b>SSA:</b> DHS/Infrastructure Protection</li> <li>• <b>Government Facilities</b>  <b>SSA:</b> DHS/Immigration and Customs Enforcement/Federal Protective Service</li> </ul>

**Critical Infrastructure and Key Resources Support Annex**

Emergency Support Function	Related CIKR Sectors
<p><b>ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services</b></p> <p><b>Primary Agency:</b> DHS/Federal Emergency Management Agency</p>	<ul style="list-style-type: none"> <li>• <b>Emergency Services</b> SSA: DHS/Infrastructure Protection</li> <li>• <b>Public Health and Healthcare</b> SSA: Department of Health and Human Services</li> </ul>
<p><b>ESF #7 – Logistics Management and Resource Support</b></p> <p><b>Primary Agencies:</b> General Services Administration DHS/Federal Emergency Management Agency</p>	<p>All</p>
<p><b>ESF #8 – Public Health and Medical Services</b></p> <p><b>Primary Agency:</b> Department of Health and Human Services</p>	<ul style="list-style-type: none"> <li>• <b>Emergency Services</b> SSA: DHS/Infrastructure Protection</li> <li>• <b>Public Health and Healthcare</b> SSA: Department of Health and Human Services</li> </ul>
<p><b>ESF #9 – Search and Rescue</b></p> <p><b>Primary Agencies:</b> DHS/Federal Emergency Management Agency DHS/U.S. Coast Guard DOI/National Park Service DOD/U.S. Air Force</p>	<ul style="list-style-type: none"> <li>• <b>Emergency Services</b> SSA: DHS/Infrastructure Protection</li> </ul>
<p><b>ESF #10 – Oil and Hazardous Materials Response</b></p> <p><b>Primary Agencies:</b> Environmental Protection Agency DHS/U.S. Coast Guard</p>	<ul style="list-style-type: none"> <li>• <b>Chemical</b> SSA: DHS/Infrastructure Protection</li> <li>• <b>Nuclear Reactors, Materials, and Waste</b> SSA: DHS/Infrastructure Protection</li> <li>• <b>Emergency Services</b> SSA: DHS/Infrastructure Protection</li> </ul>
<p><b>ESF #11 – Agriculture and Natural Resources</b></p> <p><b>Primary Agencies:</b> Department of Agriculture Department of the Interior</p>	<ul style="list-style-type: none"> <li>• <b>Agriculture and Food</b> SSA: Department of Agriculture and Department of Health and Human Services/Food and Drug Administration</li> <li>• <b>National Monuments and Icons</b> SSA: Department of the Interior</li> </ul>
<p><b>ESF #12 – Energy</b></p> <p><b>Primary Agency:</b> Department of Energy</p>	<ul style="list-style-type: none"> <li>• <b>Energy</b> SSA: Department of Energy</li> <li>• <b>Nuclear Reactors, Materials, and Waste</b> SSA: DHS/Infrastructure Protection</li> <li>• <b>Dams</b> SSA: DHS/Infrastructure Protection</li> </ul>
<p><b>ESF #13 – Public Safety and Security</b></p> <p><b>Primary Agency:</b> Department of Justice</p>	<ul style="list-style-type: none"> <li>• <b>Emergency Services</b> SSA: DHS/Infrastructure Protection</li> <li>• <b>Postal and Shipping</b> SSA: DHS/Transportation Security Administration</li> <li>• <b>All others as appropriate</b></li> </ul>

**Critical Infrastructure and Key Resources Support Annex**

Emergency Support Function	Related CIKR Sectors
<p><b>ESF #14 – Long-Term Community Recovery</b></p> <p><b>Primary Agencies:</b>            Department of Agriculture            DHS/Federal Emergency Management Agency            Department of Housing and Urban Development            Small Business Administration</p>	<ul style="list-style-type: none"> <li>• <b>Banking and Finance</b>  <b>SSA:</b> Department of the Treasury</li> <li>• <b>Commercial Facilities</b>  <b>SSA:</b> DHS/Infrastructure Protection</li> <li>• <b>Drinking Water and Water Treatment Systems</b>  <b>SSA:</b> Environmental Protection Agency</li> </ul>
<p><b>ESF #15 – External Affairs</b></p> <p><b>Primary Agency:</b>            DHS/Federal Emergency Management Agency</p>	<p><b>All</b></p>

**Notes:**

- When requested, and upon approval of the Secretary of Defense, DOD provides DSCA during domestic incidents. In the context of the *NRF*, DOD is considered a support agency for all ESFs. DOD is the SSA for the Defense Industrial Base sector, which may have links to many of the ESFs.
- As stated in HSPD-7, DOT and DHS will collaborate on all matters relating to transportation security and transportation infrastructure protection.

## Critical Infrastructure and Key Resources Support Annex

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### List of Acronyms

<b>CFR</b>	Code of Federal Regulations	<b>NIMS</b>	National Incident Management System
<b>CIKR</b>	Critical Infrastructure and Key Resources	<b>NIPP</b>	National Infrastructure Protection Plan
<b>CII</b>	Critical Infrastructure Information	<b>NI SAC</b>	National Infrastructure Simulation and Analysis Center
<b>COP</b>	Common Operating Picture	<b>NOAA</b>	National Oceanic and Atmospheric Administration
<b>DHS</b>	Department of Homeland Security	<b>NOC</b>	National Operations Center
<b>DOD</b>	Department of Defense	<b>NRC</b>	Nuclear Regulatory Commission
<b>DOI</b>	Department of the Interior	<b>NRCC</b>	National Response Coordination Center
<b>DOJ</b>	Department of Justice	<b>NRF</b>	National Response Framework
<b>DOT</b>	Department of Transportation	<b>NS/EP</b>	National Security and Emergency Preparedness
<b>DPA</b>	Defense Production Act	<b>OI &amp; A</b>	Office of Intelligence and Analysis
<b>DSCA</b>	Defense Support of Civil Authorities	<b>OIP</b>	Office of Infrastructure Protection
<b>EOC</b>	Emergency Operations Center	<b>PA</b>	Office of Public Affairs
<b>EPA</b>	Environmental Protection Agency	<b>PCII</b>	Protected Critical Infrastructure Information
<b>ESF</b>	Emergency Support Function	<b>PCIS</b>	Partnership for Critical Infrastructure Security
<b>FBI</b>	Federal Bureau of Investigation	<b>PFO</b>	Principal Federal Official
<b>FEMA</b>	Federal Emergency Management Agency	<b>PSA</b>	Protective Security Advisor
<b>GCC</b>	Government Coordinating Council	<b>RRCC</b>	Regional Response Coordination Center
<b>GFS</b>	Government Facilities Sector	<b>SCC</b>	Sector Coordinating Council
<b>HITRAC</b>	Homeland Infrastructure Threat and Risk Analysis Center	<b>SIOC</b>	Strategic Information and Operations Center
<b>HHS</b>	Department of Health and Human Services	<b>SLTTGCC</b>	State, Local, Tribal, and Territorial Government Coordinating Council
<b>HSAS</b>	Homeland Security Advisory System	<b>SSA</b>	Sector-Specific Agency
<b>HSIN</b>	Homeland Security Information Network	<b>SSP</b>	Sector-Specific Plan
<b>HSPD</b>	Homeland Security Presidential Directive	<b>SVA</b>	Security Vulnerability Assessment
<b>ISAC</b>	Information Sharing and Analysis Center	<b>USACE</b>	U.S. Army Corps of Engineers
<b>ISAO</b>	Information Sharing and Analysis Organization	<b>US-CERT</b>	United States Computer Emergency Readiness Team
<b>JFO</b>	Joint Field Office	<b>USDA</b>	Department of Agriculture
<b>NADB</b>	National Asset Database		
<b>NCC</b>	National Coordinating Center for Telecommunications		
<b>NCS</b>	National Communications System		
<b>NICC</b>	National Infrastructure Coordinating Center		

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### Coordinating Agency:

Department of Homeland Security/Federal  
Emergency Management Agency (Stafford  
Act declarations)

Federal agency requesting Federal-to-  
Federal support (non-Stafford Act  
declarations)

### Cooperating Agencies:

All

## INTRODUCTION

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### Purpose

The Financial Management Support Annex provides basic financial management guidance for all participants in *National Response Framework* activities. This includes guidance for all departments and agencies providing assistance for incidents requiring a coordinated Federal response. The financial management function is a component of Emergency Support Function (ESF) #5 – Emergency Management.

The processes and procedures described in this annex ensure that funds are provided expeditiously and that financial operations are conducted in accordance with established Federal law, policies, regulations, and standards.

### Scope

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As part of the Secretary of Homeland Security's responsibility to coordinate resources under Homeland Security Presidential Directive (HSPD) 5, this annex is applicable to Federal departments and agencies ("Federal agencies") participating and responding under the *National Response Framework* with assistance or relief as coordinated by the Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA) in response to incidents requiring a coordinated Federal response.

## CONCEPT OF OPERATIONS

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### General – Stafford Act Declarations

The President may direct any Federal agency pursuant to the authorities in sections 402, 403, and 502 of the Stafford Act.

The Disaster Relief Fund (DRF), appropriated to DHS/FEMA, is available for purposes of the Stafford Act. Reimbursement may be provided from the DRF for activities conducted pursuant to these sections.

The DRF is not available for activities not authorized by the Stafford Act, for activities undertaken under other authorities or agency missions, or for non-Stafford Act incidents requiring a coordinated Federal response.

### General – Non-Stafford Act Incidents

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A Federal entity with primary responsibility and statutory authority for handling an incident (i.e., the requesting agency) that needs support or assistance beyond its normal operations may request DHS coordination and facilitation through the *National Response Framework*.

Generally, the requesting agency provides funding for the incident consistent with provisions of the Economy Act, unless other statutory authorities exist.

DHS coordinates assistance using the multiagency coordination structures in the *National Response Framework* and in accordance with the *National Incident Management System*.

In accordance with HSPD-5, the Secretary of Homeland Security is the principal Federal official for domestic incident management. Federal departments and agencies are expected to provide their full and prompt cooperation, resources, and support, as appropriate and consistent with their own responsibilities for protecting national security, to the Secretary in the exercise of his or her leadership responsibilities and missions for domestic incident management.

### Field Financial Management

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**Joint Field Office (JFO):** Upon issuance of a Presidential disaster or emergency declaration, the DHS/FEMA Chief Financial Officer (CFO) deploys a Comptroller to the established JFO to oversee all financial management activities, acquisitions, and management controls, and to report funding activity. During non-Stafford Act incidents, an agency requesting Federal-to-Federal support may request deployment of a DHS/FEMA Comptroller or may deploy its own. The Comptroller serves as the Finance and Administration Section Chief and is the Senior Financial Advisor to the Federal Coordinating Officer (FCO)/Federal Resource Coordinator (FRC) and the primary liaison to the CFO.

**National Response Coordination Center (NRCC):** The Comptroller serves as a liaison between the NRCC and the CFO. The Comptroller oversees all financial management activities of the NRCC and provides the NRCC Director with the necessary authority and expertise for effective fiscal management during initial disaster response activities. During the stand-down phase, the Comptroller works with Federal agencies to ensure that unneeded funds are deobligated as soon as appropriate.

**Regional Response Coordination Center (RRCC):** The Comptroller is the CFO's representative to the RRCCs and serves as the liaison between the RRCC and the CFO. The Comptroller provides the DHS/FEMA Regional Administrator and Disaster Recovery Manager (DRM), if applicable, with the necessary expertise and authority essential for effective financial management during initial response activities. During the stand-down phase, the Comptroller works with Federal agencies to ensure that unneeded funds are deobligated as soon as appropriate.

### Funding and Reimbursement

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**Stafford Act Declarations:** DHS/FEMA uses the mission assignment (see Attachment 1) as a work order to direct completion by a Federal agency of a specified task pursuant to a Stafford Act declaration. (See 44 CFR 206.5, and "Additional Mission Assignment Guidance for Stafford Act Declarations" below for more information.)

**Non-Stafford Act Incidents:** Federal agencies participating in the *National Response Framework* may request and provide Federal-to-Federal support by executing inter/intra-agency reimbursable agreements, in accordance with applicable authorities. Federal agencies providing mutual aid support may request reimbursement from the requesting agency for eligible expenditures. (See Attachment 3, Memorandum of Agreement: Mutual Aid for Incidents Requiring Federal Coordination (Non-Stafford Act) for more information.) The Request for Federal-to-Federal Support form (see Attachment 3, Tab 1) may be used as the Reimbursement Agreement form by Federal agencies requesting support.

**All Incidents:** In accordance with Office of Management and Budget (OMB) Circular No. A-11, Federal agencies should submit to OMB on the SF-132 an annual estimate of the amount of reimbursable authority required to carry out their responsibilities under the *National Response Framework*. After approval of the SF-132, and upon approval and/or execution of a mission assignment or reimbursable agreement, agencies have spending authority and can incur and record reimbursable obligations and expenditures against DHS/FEMA's or the requesting agency's obligation. As direct obligations are not incurred, advance funding is not needed.

Agencies will generate receivables and request reimbursement from DHS/FEMA or the requesting agency. Supporting documentation for DHS/FEMA mission assignment reimbursement requests can be found at [www.fema.gov/government/business.shtm](http://www.fema.gov/government/business.shtm).

## RESPONSIBILITIES

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### DHS/FEMA (Stafford Act) and Requesting Agency (non-Stafford Act) Chief Financial Officer

The CFO uses Federal financial principles, policies, regulations, and management controls to ensure accountability of funds and provides financial management support to incidents requiring Federal coordination, such as:

- Providing advice on financial policy issues relative to an incident requiring Federal coordination and use of funds.
- Expeditious processing of all documented and approved requests for reimbursement and review of bills prior to processing payments to ensure that proper documentation supports the expenditures claimed.
- Performing periodic reviews of open obligations to ensure accuracy and timeliness, and providing financial management reports.

The CFO appoints a Comptroller from a cadre of qualified financial management individuals to oversee financial operations and advise on financial matters at the NRCC, RRCC, and JFO.

### Comptrollers

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Comptrollers are responsible for acting as the Finance and Administration Section Chief. Financial responsibilities include:

- Supervising the Financial and Administration Section staff at the JFO, NRCC, and RRCC, which includes financial specialists, financial technicians, and contract specialists/contracting officers, including those activated under ESF #7 – Logistics Management and Resource Support.

## **Financial Management Support Annex**

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- Overseeing travel management at the JFO, providing advice and assistance on travel policy and serving as the CFO's travel authority at the JFO, and working closely with the CFO on complex travel issues.
- Overseeing contracting and acquisitions operations, including credit card purchases and grants management responsibilities, and coordinating acquisition management performed by the contract specialists/contracting officers, including those activated under ESF #7, with the RRCC.
- Providing policy guidance and necessary expertise and authority essential for effective fiscal management of expenditures to the FCO in a Stafford Act event or to an FRC or Principal Federal Official (PFO) in a non-Stafford Act event.
- Monitoring expenditures, including tracking of funds at both object and sub-object code levels; tracking and reporting commitments, obligations, and disbursements; reviewing commitments to ensure proper expenditure of funds; and reporting funding activity to the FCO/FRC/PFO, as appropriate for the event, and CFO on a regular basis.

Comptrollers work with the JFO program staff to ensure adequate funding is allocated to meet anticipated obligations and expenditures.

## **Cooperating Agencies**

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Cooperating agencies are responsible for maintaining documentation to support requests for reimbursement, submitting final reimbursement requests within the terms of the mission assignment or reimbursable agreement, and notifying requesting agencies when a task is completed and/or when additional time is required to complete work in advance of the projected completion date.

Cooperating agencies are expected to apply proper financial principles, policies, regulations, and management controls to ensure full accountability for the expenditure of funds.

## **Additional Mission Assignment Guidance for Stafford Act Declarations**

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DHS/FEMA may issue mission assignments to other Federal agencies to: 1) address a State's request for Federal assistance to meet unmet emergency needs; or 2) support overall Federal operations pursuant to, or in anticipation of, a Stafford Act declaration. The mission assignment is issued to an agency by using FEMA Form 90-129, Mission Assignment (see Attachment 1) with, as applicable, funding, funding limitations, the requirements of the task(s) to be performed, completion date, and State cost-share requirements.

After consultation with the FEMA Operations Chief, mission-assigned ESF primary agencies may authorize support agencies as necessary to accomplish the required tasks as received on Action Request Forms (ARFs). Subtasking should be considered when the primary Federal agency will be performing the bulk of the actual mission assignment tasking but may need additional resource or technical support from support agencies. Primary agencies should use the ESF Mission Assignment Subtasking Request Form (see Attachment 2) and include on that form written instructions and funding limitations. Support agencies must submit cost breakdowns to the ESF primary agency, which must review and approve documentation before forwarding to DHS/FEMA for reimbursement. Subtasked support agencies must seek reimbursement approval from their primary agency, not DHS/FEMA.

If a primary Federal agency receives an ARF for services that it will not be able to perform or that is outside of its mission area, the ARF should be routed to the appropriate Federal agency for task completion. FEMA will coordinate with the primary agency in determining when it would be appropriate to issue a direct mission assignment to a support agency and in identifying the appropriate scope for the mission assignment. Standard language should be added to the ARF if a support Federal agency will receive a direct mission assignment, stating that "the support Federal agency must coordinate all activities for this mission assignment with the primary Federal agency responsible for work under the ESF functional area." Direct mission-assigned support agencies will seek reimbursement approval from DHS/FEMA, not from the ESF primary agency.

The General Services Administration (GSA) may function as a procurement agent to obtain goods and services for Federal agencies other than DHS/FEMA. In these cases, GSA arrangements are independent of DHS/FEMA and all obligations incurred for goods and services for the Federal agencies are billed directly to the ordering agency. Federal agencies may request reimbursement from DHS/FEMA only after receipt of an invoice.

**Attachment 1  
Mission Assignment Form (Stafford Act Declarations)  
FEMA Form 90-129**

U.S. DEPARTMENT OF HOMELAND SECURITY EMERGENCY PREPAREDNESS AND RESPONSE DIRECTORATE <b>MISSION ASSIGNMENT (MA)</b>		<i>See reverse side for Paperwork Burden Disclosure Notice</i>	O.M.B. No. 1660-0047 Expires February 29, 2004
<b>I. TRACKING INFORMATION (FEMA Use Only)</b>			
STATE	ACTION REQUEST NO.	PROGRAM CODE/EVENT NO.	DATE/TIME RECEIVED
<b>II. ASSISTANCE REQUESTED</b>			<input type="checkbox"/> See Attached
ASSISTANCE REQUESTED			
QUANTITY	DATE/TIME REQUIRED	INTERNAL CONTROL NO.	
DELIVERY LOCATION			
INITIATOR/REQUESTOR NAME	24-HOUR PHONE NO.	24-HOUR FAX NO.	DATE
POC NAME	24-HOUR PHONE NO.	24-HOUR FAX NO.	DATE
* State Approving Official (Required for DFA and TA):			
<b>III. INITIAL FEDERAL COORDINATION (Operations Section)</b>			<input type="checkbox"/> See Attached
Action To:	<input type="checkbox"/> ESF NO.: <input type="checkbox"/> Other:	DATE/TIME	PRIORITY <input type="checkbox"/> 1 Lifesaving <input type="checkbox"/> 3 High <input type="checkbox"/> 5 Normal <input type="checkbox"/> 2 Life sustaining <input type="checkbox"/> 4 Medium
<b>IV. DESCRIPTION (Assigned Agency Action Officer)</b>			<input type="checkbox"/> See Attached
MISSION STATEMENT:			
<i>(Your agency is responsible for submitting a Mission Assignment Monthly Progress Report to FEMA to include cost data when Mission Assignments take more than 60 days to complete, including billing.)</i>			
ASSIGNED AGENCY	PROJECTED START DATE	PROJECTED END DATE	
<input type="checkbox"/> NEW or <input type="checkbox"/> AMENDMENT TO MA NO.:	TOTAL COST ESTIMATE: \$		
ASSIGNED AGENCY POC NAME	PHONE NO.	FAX NO.	
<b>V. COORDINATION (FEMA Use Only)</b>			
TYPE OF MA:	<input type="checkbox"/> Direct Federal Assistance State Cost Share (0%, 10%, 25%)	<input type="checkbox"/> Technical Assistance State Cost Share (0%)	<input type="checkbox"/> Federal Operations Support State Cost Share (0%)
STATE COST SHARE PERCENT %	STATE COST SHARE AMOUNT \$		
FUND CITATION 20__-06-_____-250 - D	APPROPRIATION CODE 70X0702		
MISSION ASSIGNMENT COORDINATOR (Preparer)			DATE
** FEMA PROJECT OFFICER/BRANCH CHIEF (Program Approval)			DATE
** COMPTROLLER/FUNDS CONTROL (Funds Review)			DATE
<b>VI. APPROVAL</b>			
* STATE APPROVING OFFICIAL (Required for DFA and TA)			DATE
** FEDERAL APPROVING OFFICIAL (Required for all)			DATE
<b>VII. OBLIGATION (FEMA Use Only)</b>			
MISSION ASSIGNMENT NO.	AMOUNT THIS ACTION \$	DATE OBLIGATED	TIME OBLIGATED
AMENDMENT NO.	CUMULATIVE AMOUNT \$	INITIALS	
* Signature required for Direct Federal Assistance and Technical Assistance mission assignments. ** Signature required for all mission assignments.			

FEMA Form 90-129, MAY 03

REPLACES ALL PREVIOUS EDITIONS.

Attachment 1 (Continued)

**PAPERWORK BURDEN DISCLOSURE NOTICE**

Public reporting burden for this is estimated to average 20 minutes per response. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing and reviewing the form. You are not required to respond to this collection of information unless a valid OMB control number is displayed in the upper right corner of this form. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing the burden to: Information Collections Management, Department of Homeland Security, Emergency Preparedness and Response Directorate, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472. NOTE: Do not send your completed form to this address.

**INSTRUCTIONS**

Items on the Mission Assignment (MA) form that are not specifically listed are self-explanatory.

**I. TRACKING INFORMATION.** Completed by Action Tracker or other Operations staff. Required for all requests.

State: If multi-State, choose State most likely to receive resources, (i.e., when using 7220-SU Program Code)

Action Request No.: Based on chronological log number. Used for tracking.

Program Code/Event No.: The pre-declaration, emergency, or major disaster number assigned for funding the event. Examples: 7220-SU, 4220-AD, 3130-EM, 1248-DR.

**II. ASSISTANCE REQUESTED.** Completed by requestor.

Assistance Requested: Detail of resource shortfalls, give specific deliverables, or simply state the problem.

Internal Control No.: Internal requestor reference, log, or control number, if applicable.

Initiator/Requestor: The initiator may be an individual filling out the mission assignment and making a request on behalf of the POC.

POC Name: The person coordinating reception and utilization of the requested resources. 24-hour contact information required.

State Approving Official: Signature certifies that State and local government cannot perform, nor contract for the performance, of the requested work and agrees to pay cost share if any.

**III. INITIAL FEDERAL COORDINATION.** Completed by the Operations Section Chief.

Action to: Operations Chief notes assigned organization. May be Emergency Support Function (ESF), internal FEMA organization, or other organization, which assigns the Action Officer.

Rest of MA used only if solution to request requires Federal agency to perform reimbursable work under (MA). Best solution may be internal resources or commercial vendor. Deliberate evaluation must occur before MA is completed and MA is issued.

**IV. DESCRIPTION.** Completed by assigned agency Action Officer.

Mission Statement: Description of steps to complete the request. Include discussion of personnel, equipment, subtasked agencies, contracts and other resources required. This can be provided as an attachment.

Assigned Agency: Agency receiving the MA from FEMA. Activities within the scope of an ESF result in an MA to the primary agency. Cite subordinate organization if applicable. Example: DOT-FAA, COE-SAD.

Project Completion Date/End Date: If end date is not clear, estimate and budget for 30 or 60 days, then re-evaluate. TBD is not acceptable; some date must be entered into this field.

Total Cost Estimate: A budget can be attached outlining personnel, equipment, contract, sub-tasked agency, travel, and other costs.

**V. COORDINATION.** Completed by MAC, except for Project Officer and Comptroller signatures.

Type of MA: Select only one.

Appropriation Code: Static data. Do not change. This is for information only, should not be used to report internal agency finances to Treasury.

**VI. APPROVAL.** Completed by State Approving Official and Federal Approving Official.

**VII. OBLIGATION.** Completed by Financial Specialist.

Mission Assignment No.: Assigned in FEMA financial system chronologically using assigned agency acronym and two-digit number.

Amendment No.: Note supplement number. For example: COE-SAD-01, Supp. 1, or DOT-08, Supp. 3.

Amount this Action: Taken from total cost estimate above.

Cumulative Amount: Cumulative amount for this MA, including amendments.

**Attachment 2  
ESF Mission Assignment (Stafford Act Declarations)  
Subtasking Request Form**

<b>ESF MISSION ASSIGNMENT SUBTASKING REQUEST</b>	
FEMA-Assigned MA Number: _____	E SF Primary Agency: _____
Subtasked Agency: _____	State _____ Disaster No: _____
Tasking Statement/ Statement of Work	
Project Completion Date: _____	Authorized Funding: _____
<p><b>Reimbursement Procedure:</b> Upon completion of scope of work, the subtasked Federal agency should submit a SF 1081, or other approved Treasury form to request reimbursement, detailing expenditures and activities to:</p> <p>_____ (ESF Primary Agency)</p> <p>_____ (Address)</p> <p>The ESF primary agency should:</p> <ol style="list-style-type: none"> <li>(1) Review the reimbursement request and recommend approval or disapproval within 10 workdays of receipt.</li> <li>(2) Return approved reimbursement requests to subtasked agencies that use the Intra-governmental Payment and Collection (IPAC) system for transaction processing and simultaneously forwarding supporting documentation to the DFC.</li> <li>(3) Forward approved reimbursement requests to the Disaster Finance Center. The Disaster Finance Center will send payment directly to the subtasked agency</li> </ol> <p>FEMA Billing and Reimbursement Guidance can be found at <a href="http://www.fema.gov/government/business.shtm">www.fema.gov/government/business.shtm</a></p>	

**Statutory Authority:** Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1988, as amended, 42 U.S.C 5121-5201.

**Authorizing Officials:**

*The work described in the above tasking statement will be completed in support of the National Response Framework*

\_\_\_\_\_  
Authorizing Official, Subtasked Agency      Date      Phone #

\_\_\_\_\_  
Authorizing Official, ESF Primary Agency      Date      Phone #

Following signatures please provide information copy to FEMA MAC and Project Officer.



**Attachment 3**  
**Memorandum of Agreement: Mutual Aid for Incidents Requiring Federal Coordination**  
**(Non-Stafford Act)**

**I. Parties**

The parties to this Memorandum of Agreement (Memorandum) are the Federal departments and agencies providing mutual aid for Non-Stafford Act incidents requiring Federal coordination.

**II. Authorities**

Applicable Federal authorities may include, but are not limited to:

- A. Homeland Security Act of 2002 (6 U.S.C. § 101 et seq.).
- B. Economy Act (31 U.S.C. §1535).
- C. Clean Water Act, as amended (33 U.S.C. § 1321)
- D. Oil Pollution Act of 1990 (33 U.S.C. § 2701 et seq.)
- E. Comprehensive Environmental Response, Compensation, and Liability Act, as amended (42 U.S.C. § 9601 et seq.)
- F. Small Business Act (15 U.S.C. § 631 et seq.)
- G. Public Health Service Act (42 U.S.C. § 201 et seq.)
- H. Reciprocal Fire Protection Act (42 U.S.C. §1856)
- I. Department of Veterans Affairs Emergency Preparedness Act (38 U.S.C. § 1785)
- J. Homeland Security Presidential Directive 5 (HSPD-5).

**III. Purpose**

The Federal Government's response to incidents requiring Federal coordination will likely exceed the authority or capabilities of any individual Federal department, agency, or their elements ("Federal agencies"). Coordination and support within and among the Federal agencies is essential to maximize the use of available assets, resources, and expertise under the *National Response Framework (NRF)* to save lives and to protect property, natural resources, and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States.

Recognizing that each Federal agency has different expertise and resources, and plays an important role in responding to incidents requiring Federal coordination, the purpose of this Memorandum is to create a framework for interagency or intra-agency mutual aid for Federal-to-Federal support among participants of the *NRF* when Federal-to-Federal support is requested and provided for an incident that is not declared a major disaster or emergency under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended, 42 U.S.C. §§ 5121-5206 ("Stafford Act").

This Memorandum does not preclude participating Federal agencies from entering into supplementary agreements with other Federal agencies for incidents or events within their respective authorities, nor does it affect any other agreement to which a Federal agency may currently be, or decide to be, a party. This Memorandum does not preclude Federal agencies from requesting or providing assistance on a nonreimbursable basis where authorized.

Attachment 3 (Continued)

**A. Operating Assumptions**

1. Based on the incident's scope and effect, mutual aid requirements may vary depending on the magnitude and type of event; the stage of the prevention, preparedness, response, or recovery efforts; or the availability of resources, including nonmonetary resources.
2. A Federal entity with primary responsibility and statutory authority for handling an incident (i.e., the requesting agency) that needs support or assistance beyond its normal capabilities may request DHS coordination and facilitation through the *NRF*.
3. Generally, the requesting agency provides funding for the support consistent with provisions of the Economy Act, unless other relevant statutory authorities exist.
4. DHS coordinates assistance using the multiagency coordination structures in the *NRF* and in accordance with the *National Incident Management System*.
5. In accordance with HSPD-5, Federal departments and agencies are expected to provide their full and prompt cooperation, available resources, and support, as appropriate and consistent with their own responsibilities for protecting national security, to the Secretary of Homeland Security in the exercise of responsibilities and missions as the principal Federal official for domestic incident management.

**B. Operating Procedures**

1. Federal agencies participating in the *NRF* may request and provide Federal-to-Federal support by executing interagency or intra-agency reimbursable agreements, in accordance with the Economy Act (31 U.S.C. §1535) or other applicable authorities.
2. The Reimbursable Agreement form to be used by Federal agencies requesting support for a non-Stafford Act event is the Request for Federal-to-Federal Support (see Attachment 3, Tab 1).
3. The period of support for purposes of reimbursement will be as stated in the reimbursable agreements.
4. All Federal entities shall use generally accepted Federal financial principles, policies, regulations, and management controls to ensure proper accountability of their respective funds.

Attachment 3 (Continued)

IV. Responsibilities

- A. Federal Agencies Requesting Support:** Federal agencies requesting mutual aid pursuant to this Memorandum shall be responsible for:
1. Requesting Federal-to-Federal support by executing reimbursable agreements under this agreement. The reimbursable agreements describe work to be performed, date of completion, and funding limitations. The requesting agency is responsible for monitoring the work progress of the supporting agency.
  2. In conjunction with its supporting agencies, advising the FRC of the type of assistance and support requested, from which agencies support has been requested, when the support is provided, and the amount and distribution of funding required in support of the Incident.
  3. Overseeing all financial management activities relating to financial operations, ensuring that sound financial management practices and standards are applied, and ensuring that all funds expended are accounted for in accordance with generally accepted accounting principles of the Federal Government.
  4. Coordinating requests with OMB and Congress for adequate funding to meet projected expenditures for specific incidents/events, as required.
  5. Ensuring expeditious receipt and review of bills or requests for reimbursement for mutual aid provided prior to processing payments, and ensuring that proper documentation supports the expenditures claimed.
  6. Reviewing all requests for reimbursement for goods and services from supporting agencies before payment. The requesting agency certifies that the expenditures claimed have been reviewed, are eligible, and are relevant to the request for mutual aid, and that costs are reasonable and supported by proper documentation.
  7. Complying with the requirements of the Economy Act or other applicable statutes.
- B. Federal Agencies Providing Support:** Federal agencies providing reimbursable mutual aid support pursuant to this Memorandum shall be responsible for:
1. Maintaining appropriate documentation that clearly identifies the assistance provided to the requesting agency and supports requests for reimbursement.
  2. Notifying the requesting agency when a task is completed or when additional time is required to complete work in advance of the projected completion date.
  3. Submitting final reimbursement requests after completing a task. Final bills should be marked "Final."

**Attachment 3 (Continued)**

4. Applying proper financial principles, policies, regulations, and management controls to ensure full accountability for expenditures.
5. Complying with the requirements of the Economy Act or other applicable statutes.

**V. Reimbursement of Federal Agencies Providing Support**

- A. Federal agencies providing mutual aid support under this Memorandum shall request reimbursement from the requesting agency for eligible expenditures. Requests for reimbursement should include a breakdown of charges by budget sub-object class or as otherwise specified by the requesting agency.
- B. Fees for goods or services described in reimbursable agreements are paid from funds cited upon delivery. Payments are made using the Treasury Intra-governmental Payments and Collections (IPAC) system.
- C. All requests for reimbursement must contain adequate documentation to support expenditures claimed as reimbursable. The vehicle used to obligate funds for authorized expenditures of Federal-to-Federal support is the Request for Federal-to-Federal Support.
- D. Federal agencies providing support and receiving reimbursement from the requesting agency for goods or services shall record such funds to the appropriation against which charges were made to fill the order. In accordance with OMB Circular No. A-11, Federal agencies should submit to OMB on the SF-132 an annual estimate of reimbursable budget authority expected to carry out their responsibilities under the *NRF*.
- E. Intragovernmental transactions, including advances of funds, under Federal-to-Federal support reimbursable agreements shall comply with the business rules set forth in Treasury Financial Manual, Bulletin No. 2007-03, Intragovernmental Business Rules, dated November 15, 2006.
- F. Nothing in this agreement is intended to and does not obligate funds, nor is this agreement to be construed as obligating funds of the parties.

**VI. Other Provisions:** Nothing herein is intended to conflict with current law or regulation or agency directives of any of the parties. If any terms of this Memorandum are found to be inconsistent with any such authority, then those terms shall be invalid, but the remaining terms and conditions are not affected by the inconsistency and shall remain in full force and effect.

**VII. Liability:** Each Federal agency shall be liable for the acts and omissions of its own employees to the extent provided by Federal laws or regulations.

**VIII. Effective Date:** This Memorandum is effective upon signature by the respective signatory Federal agencies.

**IX. Modification:** This Memorandum may be amended at any time to further its purposes, extended, or renewed by mutual written agreement of the parties. This Memorandum shall be reviewed on a periodic basis, but not less than once every five (5) years.

**Attachment 3 (Continued)**

- X. Termination:** The terms of this Memorandum, as modified with the consent of all parties, remain in effect indefinitely unless either terminated by (1) mutual written agreement of the respective parties or (2) the giving of thirty (30) days advance written notice by the respective parties. Notwithstanding any termination or withdrawal, the terms of this Memorandum shall remain applicable to any outstanding Reimbursable Agreement.

**APPROVED BY:**

The signatories to this Memorandum of Agreement.

**Attachment 3, Tab 1  
Request for Federal-to-Federal Support – Non-Stafford Act**

Request for Federal-to-Federal Support					
I. Tracking Information (Requesting Agency Only):					
State (if applicable)	Action Request No.		Program Code/Incident No.		Date/Time Received
II. Parties:					
Requesting Agency			Supporting Agency		
Contact	Phone		Contact	Phone	
Name (specify if billing address is different)			Name		
Address			Address		
City	State	Zip	City	State	Zip
III. Duration:					
Projected Start Date:			Projected End Date:		
IV. Requested Support:					
Brief description of requested support and basis for determining cost:					_____ New Request
(Attach additional sheet for continuation of explanation, if necessary.)					_____ Amendment to
					Action Request No. _____
ESF No. (if applicable)	Quantity		Delivery Location	Estimated Amount \$	
V. Authority for Request:					
Cite authority for request if not Economy Act:			SEE REVERSE for Determination and Finding (if Economy Act)		
VI. Funding:					
Agency Location Code	Appropriation Code		Funds Citation		
Requesting Agency Program Approval (Signature and Date)			Funds Certification Approval (Signature and Date)		
VII. Approvals:					
Approved for Requesting Agency:			Approved for Supporting Agency:		
Organization			Organization		
Signature			Signature		
Title			Title		

**Conditions of Agreement**

1. Financing: The charges for services shall include both direct and indirect costs applicable to the agreement. Advance payments, if authorized, are made on an estimated cost basis. If the estimated advance is different from the actual costs, proper adjustment (refund or additional billing) on the basis of the actual costs incurred shall be made upon completion of the work. (The frequency of billing, such as monthly, quarterly, etc., must be stated in the narrative portion of the form.)

2. Other Provisions:

**Attachment 3, Tab 1 (Continued)**

**DETERMINATION AND FINDINGS: AUTHORITY TO ENTER INTO A PAYABLE INTER/INTRA-AGENCY REIMBURSABLE AGREEMENT UNDER THE ECONOMY ACT**

Based on the following determinations and findings, in accordance with the authority of the Economy Act (31 U.S.C. 1535), as implemented in subpart 17.5 of the Federal Acquisition Regulation (FAR), and as described on Page 1, the requesting agency intends to enter into an inter/intra-agency agreement with the supplying agency.

**FINDINGS**

- A. The requesting agency has a need for the supplying agency to provide the supplies and/or services as described on Page 1, Block IV. The total cost of the agreement is estimated to be \$\_\_\_\_\_. (If this is a multi-year agreement, the estimated dollar amount should be shown for each fiscal year, along with the aggregate/total.)
- B. The supplies and/or services as described on Page 1, Block IV cannot be obtained as conveniently or economically by contracting directly with a private source.
- C. Nothing in this requirement conflicts with the authority of the supplying agency.
- D. NOTE: If the agreement requires contracting action by the supplying agency, indicate which of the following applies:
  - \_\_\_\_\_ 1. The acquisition will appropriately be made under an existing contract of the supplying agency, entered into before placement of the order, to meet the requirements of the supplying agency for the same or similar supplies or services.
  - \_\_\_\_\_ 2. The supplying agency has capabilities or expertise to enter into a contract for such supplies or services which is not available within the requesting agency.
  - \_\_\_\_\_ 3. The supplying agency is specifically authorized by law or regulation to purchase such supplies or services on behalf of other agencies.
- E. Because of the emergency nature of the need, it is in the best interest of the Government to issue an agreement.

**DETERMINATION**

Based on the above findings, I hereby determine that it is in the best interest of the Government to enter into an Interagency Agreement with the supplying agency.

Name of Contracting Officer or Other Official Designated by Requesting Agency Head:

\_\_\_\_\_

Signature of Contracting Officer or Other Official Designated by Requesting Agency Head:

\_\_\_\_\_

Date: \_\_\_\_\_

**Attachment 3, Tab 1 (Continued)**

Approval of the Chief Procurement Officer if the supplying agency is not subject to the Federal Acquisition Regulation:

Name:

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Signature:

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Date:

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### Coordinating Agency:

Department of State

### Cooperating Agencies:

Department of Agriculture  
Department of Commerce  
Department of Defense  
Department of Energy  
Department of Health and Human Services  
Department of Homeland Security  
Department of Justice  
Department of Transportation  
U.S. Agency for International Development  
Other Federal Agencies  
American Red Cross

## INTRODUCTION

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### Purpose

This annex provides guidance on carrying out responsibilities for international coordination in support of the Federal Government's response to a domestic incident with an international component.

### Scope

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The International Coordination Support Annex supplements the *National Response Framework*. The role of the Department of State (DOS) within the *National Response Framework* is to fully support Federal, State, tribal, and local authorities in effective incident management and preparedness planning. A domestic incident will have international and diplomatic impacts and implications that call for coordination and consultations with foreign governments and international organizations. An incident may also require direct bilateral and multilateral actions on foreign affairs issues related to the incident, for which DOS has independent and sole responsibility. DOS's lead foreign policy role in supporting U.S. Government agencies and managing the international aspects of a domestic incident contributes to a more agile overall U.S. Government incident management capability.

### Policies

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In preparing for, responding to, and recovering from an actual or potential domestic incident, the Secretary of State is responsible for managing U.S. Government relations, policies, and activities as related to the international dimension of the crisis. This responsibility includes international activities that cover the spectrum of prevention, preparedness, response, and recovery.

International coordination within the context of a domestic incident requires close cooperation with foreign counterparts, multilateral/international organizations, and the private sector in the United States and abroad.

DOS supports Department of Homeland Security (DHS) and other Federal agency efforts by providing knowledge about and access to other governments, and in leading and facilitating the international aspects of a domestic incident. Similarly, U.S. nationals, including U.S. Government officials and employees, located abroad at the time of an incident may require information, assistance, communications, transportation, or other services.

DOS leverages bilateral and multilateral relationships around the world to ensure that the U.S. Government can act effectively, thus mitigating or limiting both the domestic and international impact of the incident. This is particularly important in the cases of Canada and Mexico given shared borders, extensive critical infrastructure links, and cross-border assistance agreements.

DOS and DHS may also be required to assist private industry during a domestic incident by expediting specifically requested equipment, goods, or trained personnel to enter the United States and assist with efforts to restore critical services in a timely manner. Additional cooperation with Mexico and Canada related to cross-border infrastructure is also coordinated with DHS as provided by U.S. bilateral agreements with each country.

Internationally, DOS is engaged in a wide array of diplomatic, counterterrorism, nonproliferation, and chemical, biological, radiological, nuclear, and high explosives (CBRNE)-related efforts throughout the world to assess, disrupt, deter, and prevent threats and acts of terrorism directed against the homeland and U.S. interests abroad. The objectives of these efforts are to work with global partners to ensure mutual security, to eliminate terrorist organizations wherever they may be found, to educate foreign governments and populations about the global terrorist threat, to help U.S. Government partners to enhance the security of international borders, to develop partners and organic response capabilities, to enhance mutual aid partnerships, and to prevent and respond to any domestic incident that threatens or impacts public health and welfare.

Domestically, DOS engages with the Homeland Security Council (HSC) and the National Security Council (NSC) on a range of issues with international dimensions, including intelligence-sharing and terrorist-screening mechanisms, CBRNE threats, critical infrastructure vulnerability and protection, aviation and maritime security issues, border security enhancements, domestic/international public health, law enforcement activities, and curbs on terrorist financing.

In accordance with Homeland Security Presidential Directive 7 and the *National Infrastructure Protection Plan (NIPP)*, DOS, in conjunction with DHS and the Departments of Justice, Commerce, Defense, and the Treasury and other appropriate agencies, works with foreign countries and international organizations to strengthen the protection of U.S. critical infrastructure and key resources (CIKR).

DOS may also engage with the American Red Cross, which is part of the International Red Cross and Red Crescent Movement. The Movement consists of 185 Red Cross and Red Crescent Societies around the world. The American Red Cross, in partnership with the Movement, offers international family tracing services with the capacity to locate family members separated by war or disaster. When an incident occurs in the United States, families around the world who are concerned about the welfare of their loved ones can access and search the American Red Cross Safe and Well website on the Internet. The website allows loved ones to search for registered individuals and to view well-being messages posted by individuals who have been affected by a disaster. If a family member has a particular concern about a loved one who has been affected by a disaster in the United States because the individual has a significant health or mental health condition, the family member can initiate a Welfare Information Request for Health or Mental Health Services through their local Red Cross or Red Crescent Society.

**CONCEPT OF OPERATIONS**

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**Domestic Coordination**

**DOS Executive Secretariat and Operations Center Task Force(s) – Domestic Support and International Outreach**

DOS's Executive Secretariat and its Operations Center establish a DOS Task Force when domestic incidents have major international implications. DOS:

- Reviews its Headquarters operational capabilities and its national/international operability and connectivity.
- Immediately communicates with the National Operations Center (NOC) and as required with other U.S. Government agencies, as outlined in the Emergency Support Function (ESF) Annexes.
- Advises U.S. Embassies/Consulates regarding the domestic incident. Provides U.S. missions with instruction on advising other governments, the United Nations (U.N.), and other multilateral organizations.
- Advises U.S. missions of any possible direct or collateral implications for U.S. citizens, businesses, and/or interests in other countries, and actions to be considered.
- Provides liaison officers to key operational nodes in the Federal, State, tribal, or local incident management architecture, as required.

**Domestic DOS Facilities/Personnel**

DOS coordinates with other Federal, State, tribal, or local authorities to respond to events at DOS domestic facilities and ensures the safety and security of DOS personnel. The Office of Emergency Management, Bureau of Administration, coordinates response to emergencies impacting DOS domestic facilities and personnel.

**Support to Foreign Missions/Foreign Nationals in the United States**

DOS:

- Has operational responsibility, shared with Federal, State, tribal, and local authorities, to ensure the protection of foreign missions, the U.N., and other multilateral organizations with missions in the United States, and for the safety/security of their official personnel.
- If requested, assists foreign Embassies/Consulates in coordinating with Federal, State, tribal, and local authorities to enable foreign diplomatic missions to provide information to their citizens in the United States and to render safety/security and other consular assistance (e.g., medical assistance, evacuations, consular access to hospitals and morgues, etc.).

**Foreign Coordination**

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**Immediate U.S. Government Incident Management – Operational Needs**

DOS:

- Through Embassies/Consulates, coordinates U.S. Government communications with other nations regarding crisis response and other activities.
- Advises and consults foreign governments on U.S. Government actions being considered or immediately planned that may have immediate international impacts (e.g., travel restrictions, border/airspace/coastal closures, disease spread, medical response, quarantine, isolation, and risk communication). This is especially critical for countries bordering the United States.

The Information Technology Sector is complex and global in nature. Significant cyber incidents will rarely be constrained by geography or national borders. Close coordination with foreign governments during an incident may be required.

**Providing Information to Americans Abroad, Foreign Governments, and the International Community**

DOS:

- Advises American citizens and businesses and other U.S. social/economic entities abroad of the nature and extent of the situation in the United States and any direct effect that the domestic incident might have on their safety and security. Provides information on the status of the incident, and where additional information related to the security of family members in the United States or the impact on business operations in the Nation may be available.
- Serves as a liaison between foreign governments and U.S. agencies on real-time actions taken or planned, and coordinates U.S. Government projections of longer term international consequences of the event (e.g., disease spread, quarantines, travel restrictions, displaced persons, vaccine/medical requirements/supplies, etc.).
- Develops and implements a diplomatic and international public affairs and public diplomacy strategy in coordination with the National Response Coordination Center to communicate information concerning the status of the incident and highlight U.S. and international response and mitigation efforts. Includes providing information to the foreign public about procedures to initiate disaster Welfare Information Requests through local Red Cross Societies as well as through the American Red Cross Safe and Well website for disasters within the United States. Also, develops incident-related public affairs strategies according to the *National Response Framework* Incident Communications Emergency Policy and Procedures described in the Public Affairs Support Annex and the ESF #15 – External Affairs Annex.

### **DOS as Intermediary for Requests/Offers of Assistance**

The most effective and efficient donation from foreign governments and foreign private entities is a cash donation to a disaster voluntary agency providing assistance to the affected region. If the circumstances are such that foreign governments or organizations are reluctant to make a cash donation to a disaster voluntary agency, DOS may choose to set up a fund under the control and direction of the U.S. Government to receive such donations. Commodity contributions and technical assistance (personnel) will only be accepted by the U.S. Government when an ESF primary agency with appropriate authority specifically requests or approves such assistance for their emergency function. This paradigm will guide DOS and the U.S. Agency for International Development (USAID) in their facilitation of international offers of assistance.

Procedures for conveying information on needs to the international community, requesting foreign assistance, and reviewing offers of foreign assistance are described in the International Assistance System (IAS) Concept of Operations.

DOS:

- Coordinates requests for foreign assistance based on needs conveyed by DHS or other Federal agencies. On behalf of U.S. Government departments and agencies, facilitates communication with foreign governments that can assist and/or support immediate and long-range response/mitigation/recovery efforts.
- Acts as the formal diplomatic mechanism for handling U.S. Government requests to other nations for assistance in meeting additional, ongoing U.S. response needs. Works to expedite delivery of such assistance, when requests are accepted. Facilitates other requests for international assistance as required by U.S. Government domestic agencies.
- Acts as the intermediary for foreign offers of assistance to the U.S. Government. Works with U.S. Government departments and agencies to respond appropriately to such requests. Works to expedite delivery of such assistance, if an offer is accepted. Works to expedite visa issuance and with DHS to facilitate U.S. entry of foreign experts needed for event response and/or mitigation.

As requested, USAID will provide technical and logistical assistance to DOS and DHS/Federal Emergency Management Agency (FEMA) with the review and facilitation of international offers of assistance, as described in the IAS Concept of Operations.

### **Attribution Authorities/Responsibilities Under International Law in CBRNE Events**

DOS coordinates with intelligence and law enforcement agencies, and other international partners as necessary, to determine and verify the origin, sponsorship, source, delivery, and responsible party of a CBRNE event that may constitute a violation of international laws, agreements, and treaties. Achieving such determinations requires enhanced international cooperation in investigations, extraditions, law enforcement actions, trials, and opportunities for additional actions to bring perpetrators to justice.

DOS will work with other agencies to explore actions and methods for responding to perpetrators to seek justice for their actions, whether by national or international cooperation in investigations, extraditions, sanctions, law enforcement actions, trials, and/or other opportunities as necessary.

### **Military-to-Military, Defense-to-Defense**

For a domestic response there should be no support falling within the military-to-military category without coordination with DOS.

If the IAS has been activated, offers of assistance from foreign militaries will be handled according to the IAS procedures, including routing of the offers to DOS. If the President has declared a major disaster or emergency, the primary responsibility for accepting assistance for a domestic incident lies with DHS through FEMA.

Any foreign military wishing to provide direct support should offer assistance through DOS, with DOD knowledge, in order for the response to be properly adjudicated and a timely response provided.

### **Industry-to-Industry, Mutual Aid**

The majority of U.S. critical infrastructure is owned and operated by private industry. Depending on the severity of a domestic incident, private industry may not have sufficient equipment, goods, or personnel with technical expertise to respond and restore critical services in a timely manner. Anticipating such circumstances, certain corporations in the telecommunications, power, and other critical industries have already established mutual aid and assistance agreements with foreign corporations, many of them in Canada and Mexico. However, these corporations will need assistance from the U.S. Government, and particularly DOS and DHS, to facilitate the movement of specifically requested equipment, goods, and personnel into the United States. It is anticipated that private industry will have already made arrangements to receive and pay for much of the equipment, goods, and/or personnel and, as a result, will only need assistance from the U.S. Government to expedite their entry into the United States. The IAS Concept of Operations, however, applies only to official (governmental or U.N.) offers of assistance, and therefore does not include provisions for industry-to-industry aid. A coordination mechanism between elements such as DHS/Customs and Border Protection or DHS/Immigration and Customs Enforcement and ESF stakeholders similar to the IAS but covering industry-to-industry aid will need to be developed to facilitate entry and continuing requirements for industry support.

The concept of operations for CIKR situational awareness, assessment, information sharing, and addressing specific requests for information and assistance from CIKR owners and operators is detailed in the CIKR Support Annex.

### **U.N., North Atlantic Treaty Organization (NATO), and Other Multilateral Organizations**

DOS articulates U.S. needs and interests to the U.N., NATO, and other international multilateral organizations. The United States also seeks a range of specific international support under treaty obligations for mutual legal assistance, freezing funds, or extradition, as requested by U.S. Government law enforcement departments and agencies.

### **DOS Coordination With Federal International Affairs Offices**

The International Affairs offices in U.S. Federal departments and agencies have existing relationships with foreign ministries and agencies, and would provide support to DOS management of foreign governments' offers of assistance to the United States or requests for assistance from the United States.

**INTERNATIONAL COORDINATION ASSOCIATED WITH EMERGENCY SUPPORT FUNCTIONS**

ESF	Responsibilities
<p><b>ESF #1 – Transportation</b></p>	<p>DOS has responsibility within the U.S. Government for the international implications of actions that support airspace and maritime protection efforts, including actions related to:</p> <ul style="list-style-type: none"> <li>• Restrictions on international air travel for a period of time.</li> <li>• Foreign aircraft landing in, flying from, or overflying U.S. territories.</li> <li>• Clearance procedures for visits to U.S. ports by foreign naval and public vessels.</li> </ul> <p>When the U.S. Government considers transportation and border restrictions/closures, DOS must provide guidance on overall diplomatic, economic, and security implications.</p>
<p><b>ESF #2 – Communications</b></p>	<p>DOS facilitates international preparedness, protection, and mitigation efforts related to communications and information technology infrastructure protection. DOS works closely with DHS, particularly the National Protection and Programs Directorate/Cybersecurity and Communications, and other Federal agencies during communications and cyber-related incident response efforts. In conjunction with ESF #2, DOS:</p> <ul style="list-style-type: none"> <li>• Facilitates communications with foreign governments for response to significant disruptions to communications and information technology systems and related incidents.</li> <li>• Works with the National Cyber Response Coordination Group to effect bilateral and multilateral efforts to respond to a cyber-related event.</li> <li>• Works with the DHS National Coordinating Center (NCC) in coordinating mutual aid support between Industry Canada and U.S. telecommunications industry in accordance with NCC/Industry Canada procedures.</li> </ul>
<p><b>ESF #3 – Public Works and Engineering</b></p>	<p>For any international public works and related infrastructure support assistance, DOS coordinates, as requested, with appropriate Federal agencies on identification and movement to the United States of needed technical assistance, engineering expertise, and construction management resources.</p>
<p><b>ESF #4 – Firefighting</b></p>	<p>For any international firefighting assistance, DOS coordinates, as requested, with appropriate Federal agencies on identification and movement to the United States of assets and resources for firefighting.</p>
<p><b>ESF #5 – Emergency Management</b></p>	<p>DOS will protect and secure its personnel and facilities according to internal procedures. DOS will create a task force for managing its responsibilities under the <i>National Response Framework</i>, as required.</p>
<p><b>ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services</b></p>	<p>As requested by foreign missions in the United States, DOS acts as liaison with local authorities to enable foreign missions to provide consular access and safety/security assistance to its nationals in the United States.</p>

**International Coordination Support Annex**

<b>ESF</b>	<b>Responsibilities</b>
<b>ESF #7 – Logistics Management and Resource Support</b>	DOS has no primary resource provider function. It will provide personnel as required to support other Federal agencies' activities that involve international coordination.
<b>ESF #8 – Public Health and Medical Services</b>	<ul style="list-style-type: none"> <li>• There are significant, critical relationships between protection of both domestic and international populations against bioterrorism, accidental pathogen releases, or naturally occurring disease outbreaks. A disease outbreak, regardless of its origin, requires monitoring and surveillance worldwide, collection of information, and sharing of laboratory capabilities and expertise.</li> <li>• DOS works with U.S. Government departments and agencies, the World Health Organization (WHO), other international organizations, and other nations on issues related to disease surveillance activities, sharing medical countermeasures (drugs and other medical equipment), and coordinating international efforts to curb disease spread.</li> <li>• DOS supports Federal agencies to facilitate the transfer of dangerous pathogen samples for epidemiological investigations from and to the United States.</li> <li>• In addition, there is a nexus between public health countermeasures and domestic/international law enforcement efforts, transportation/travel/border restrictions, and other significant policy decisions related to the control and/or isolation of a disease outbreak.</li> <li>• DOS's Medical Bureau acts as a conduit of information from the WHO, other international health organizations, the Department of Health and Human Services, and domestic public health services to U.S. Embassies/Consulates, serving the interests of official and private U.S. citizens and interests abroad.</li> </ul>
<b>ESF #9 – Search and Rescue</b>	As requested, DOS and USAID coordinate requests for international search and rescue assets and resources, through bilateral agreements or the U.N.'s International Search and Rescue Advisory Group (INSARAG) system. The U.S. Government is a member of INSARAG, and is represented in that group by USAID/Office of Foreign Disaster Assistance.
<b>ESF #10 – Oil and Hazardous Materials Response</b>	<ul style="list-style-type: none"> <li>• Provides coordination assistance for the development of international oil and hazardous materials (HAZMAT) contingency plans and other agreements.</li> <li>• Provides coordination assistance and facilitates information sharing among U.S. Federal response entities and foreign governments and international organizations for responses to oil and HAZMAT releases and transportation with cross-border impacts.</li> <li>• Facilitates entry of Federal oil and HAZMAT personnel into other countries.</li> <li>• Coordinates assistance from foreign nations.</li> </ul>



**International Coordination Support Annex**

<b>ESF</b>	<b>Responsibilities</b>
<b>ESF #11 – Agriculture and Natural Resources</b>	<p>DOS:</p> <ul style="list-style-type: none"> <li>• Facilitates exchange of information and agreements between the United States and foreign nations to identify the nature of the threat, impede disease spread, and take immediate remedial actions.</li> <li>• Acts as conduit for information between domestic and foreign governmental agencies.</li> <li>• Ensures rapid distribution of countermeasures into and out of the United States.</li> <li>• Facilitates international sharing of disease surveillance information.</li> <li>• Facilitates international sharing of laboratory resources or support, particularly for developing countermeasures.</li> </ul>
<b>ESF #12 – Energy</b>	<p>DOS and the Department of Energy (DOE) work with the governments of major oil-consuming countries through the International Energy Agency and in other groups to maintain readiness to deploy a coordinated policy response to energy emergencies, such as a significant, unexpected disruption in oil supplies. DOS also initiates contacts with important oil producers. DOS and DOE, in coordination with DHS, the HSC, and the NSC, coordinate and issue public statements on the incident.</p>
<b>ESF #13 – Public Safety and Security</b>	<p>DOS provides support to other Federal agencies’ activities that require international coordination of public safety and security.</p>
<b>ESF #14 – Long-Term Community Recovery</b>	<p>DOS works with the international community and all governments on response efforts to ensure that recovery efforts are initiated rapidly, in order to lessen the impact to the national and global economies.</p>
<b>ESF #15 – External Affairs</b>	<p>For domestic incidents with an international component, DOS public affairs and public diplomacy efforts work closely with the DHS public affairs effort to ensure that the message to foreign governments, the international public, and U.S. citizens and businesses abroad is consistent, timely, and effective.</p>

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**Coordinating Agency:**

Department of Homeland Security

**Cooperating Agencies:**

All

**INTRODUCTION**

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**Purpose**

This annex describes the policies, responsibilities, and concept of operations for Federal incident management activities involving the private sector during incidents requiring a coordinated Federal response. In this context, the annex further describes the activities necessary to ensure effective coordination and integration with the private sector, both for-profit and not-for-profit, including the Nation's critical infrastructure, key resources, other business and industry components, and not-for-profit organizations (sometimes called nongovernmental organizations (NGOs)), including those serving special needs populations, engaged in response and recovery. The Critical Infrastructure and Key Resources (CIKR) Support Annex focuses on the CIKR efforts of the private sector while this annex focuses on the remaining portion of the private sector.

**Scope**

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This annex applies to all Federal executive agencies operating under the *National Response Framework (NRF)* in incidents requiring a coordinated Federal response that involve the private sector in any of the following ways:

- Impacted organization or infrastructure<sup>1</sup>
- Response resource
- Regulated and/or responsible party
- Member of the State emergency management organization

Chapter I of the *NRF* core document describes the private-sector role in incident management activities. This annex addresses those aspects of incident management regarding the private sector that must be emphasized because of their uniqueness or importance.

This annex does not alter existing private-sector responsibilities for emergency management under the law. Existing contractual or other legal relationships between Federal agencies and the private sector are not supplanted by this annex.

The CIKR efforts involve a wide array of public and private incident managers and CIKR security partners within immediate incident areas as well as at regional and national levels. The CIKR Support Annex details the roles and relationships between the private sector and the Federal Government for CIKR.

The roles and interfaces of voluntary and other not-for-profit organizations and linkages of potential donors of goods and services to governments and NGOs are detailed in the Volunteer and Donations Management Support Annex and the Emergency Support Function (ESF) #6 – Mass Care, Emergency Assistance, Housing, and Human Services Annex.

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<sup>1</sup>...that falls within the definition of critical infrastructure and key resource (CIKR), as described in Homeland Security Presidential Directive (HSPD) 7, "Critical Infrastructure Identification, Prioritization, and Protection," and as they relate to the *NRF*.

The roles of Sector-Specific Agencies (SSAs), as defined in Homeland Security Presidential Directive (HSPD) 7, are addressed in more detail in the CIKR Support Annex.

Detailed processes, procedures, and protocols for incident management coordination with the private sector are developed and promulgated separately by the Department of Homeland Security (DHS).

### Policies

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The Federal Government encourages cooperative relations between private-sector organizations and State, tribal, and local authorities regarding prevention, preparedness, mitigation, response, and recovery activities. Active public-private sector coordination and cooperation through the emergency management cycle, beginning with planning, is a best practice recommendation common to the *National Incident Management System (NIMS)*, the Standard of the Emergency Management Accreditation Program (EMAP), and for the private sector, the National Fire Prevention Association (NFPA) 1600 Standard for Disaster/Emergency Management and Business Continuity Programs.

Since the release of the 9/11 Commission Final Report and the passage of the Intelligence Reform Act of 2004, DHS has worked with the private sector to articulate the mutual benefits and foster implementation of the NFPA 1600. Pursuant to the 9/11 Commission Act of 2007, DHS will develop and promote a preparedness program for private-sector entities that voluntarily choose to seek certification. DHS also is supporting the development and updating of voluntary preparedness standards. A private-sector firm that complies with their appropriate standards will benefit from its compliance both in its preparedness and its ability to promote public awareness of its compliance.

The Federal Government encourages processes that support informed cooperative decisionmaking. It takes actions that engage the private sector at the strategic (e.g., chief executive officer (CEO), corporate president, or other senior leadership, etc.) and operational levels to ensure:

- Effective and efficient use of private-sector and Federal resources.
- Timely exchange of information.
- Public and market confidence in times of crisis or catastrophe.

The Federal Government encourages extensive two-way and multidirectional sharing between the public and private sectors of operational information and situational awareness relative to potential or actual incidents. The Federal Government works cooperatively to develop and apply processes, procedures, and communications protocols that support such sharing at the strategic leadership and operational levels. A few examples of such information sharing are: (1) Homeland Security Information Network-Critical Sectors (HSIN-CS); (2) TRIPwire program, which provides situational awareness on improvised explosive devices; and (3) National Coordinating Center (NCC) for Telecommunications daily communications.

The Federal Government encourages members of the CIKR community to organize sector-coordinating and information-sharing mechanisms suitable for their sectors or areas of concern.

The Federal Government encourages owners and operators of those infrastructure elements whose disruption may have national or regional impact to develop appropriate emergency response plans and information-sharing processes and protocols tailored to the unique requirements of their respective sectors or industries, and mapped clearly to regional, State, tribal, and local emergency response plans and information-sharing networks.

The Federal Government encourages private-sector organizations to develop and maintain capabilities needed to respond to and manage a complete spectrum of incidents and emergencies, except in cases where the capabilities are inherently governmental in nature.

In certain circumstances, Federal law requires appropriate authorities to include private-sector representatives in incident management planning, operations, and exercises; when not required, it encourages such participation whenever practical.

The Federal Government may direct private-sector response resources in some cases in which contractual relationships exist. The Government also retains its full authorities to oversee and control as appropriate infrastructure involved in an incident. Through the Defense Production Act<sup>2</sup> and the Homeland Security Act, DHS has the authority to redirect production and distribution of certain incident management resources, if required.

The Federal Government treats information provided by the private sector, from receipt through destruction, in a manner consistent with applicable statutes and regulations. These handling procedures include Protected Critical Infrastructure Information, providing exemption from disclosure, to protect from unauthorized disclosure appropriately designated proprietary or otherwise sensitive company information.

The Federal Government avoids actions that disrupt existing relationships between voluntary aid providers at the local, tribal, State, or national level when eliciting additional offers of goods and services.

The Federal Government conducts after-action critiques of the procedures detailed in this annex with private-sector participants when they are practiced in national-level, DHS-sponsored exercises; it shares such critiques appropriately with private-sector participants.

The Federal Government supports measures that ensure site accessibility for essential services providers responding to disasters or emergencies. Essential services providers, as defined in the Stafford Act as amended by Public Law 109-347, include: "(a) a municipal entity; (b) a nonprofit entity; or (c) a private, for-profit entity" that contributes to efforts to respond to an emergency or major disaster. These entities provide:

- Telecommunications service;
- Electrical power;
- Natural gas;
- Water and sewer services; or
- Any other essential service, as determined by the President.

## CONCEPT OF OPERATIONS

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### General

The operational concept for incident management involving the private sector is the concept specified in the *NRF* and the *NIMS*.

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<sup>2</sup> See the Defense Production Act of 1950, as amended, as referenced in the section on private sector roles and responsibilities in the *NRF* core document.

The concept of operations in this annex covers the specific organizations and actions developed that are required to effectively and efficiently integrate incident management operations with the private sector. These are detailed in the sections that follow.

### Organizations for Operations With the Private Sector

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**General:** Specialized organizations that facilitate coordination with the private sector are designed to provide for critical needs as listed below:

- Processes to determine the impact of an incident on the sector involved, as well as to forecast cascading effects of interdependencies between sectors.
- Procedures for communication that facilitate a shared situational awareness across industry and infrastructure sectors and between the public and private sectors, including individuals with special needs.
- Procedures for coordination and priority-setting for incident management support and response, and the rationing or prioritizing of the delivery of goods and services after an incident.
- Processes to inform Federal Government decisionmakers to help determine appropriate recovery and reconstitution measures, particularly in cases where they may result in indemnity, liability, or business losses for the private sector.
- Procedures for the Federal Government to obtain, under the Defense Procurement Act and other authorities, goods and services necessary for the restoration and recovery of CIKR and other key elements of the economy on a priority basis.

**Department of Homeland Security:** In the event of a potential or actual incident, the DHS Office of the Secretary coordinates strategic communications with CEOs, senior officials, or individuals specifically designated by these private-sector leaders to engage in such communications on their behalf.

Further, the Secretary of Homeland Security utilizes a private-sector advisory group with representatives from across the spectrum of CIKR, business, and industry, as well as not-for-profit organizations, to provide advice on incident management and emergency response issues affecting their constituencies.

The Office of the Secretary assigns the responsibility for private-sector threat or incident communications to appropriate organizations within DHS. These organizations are detailed below.

- **Private Sector Office (DHS/PSO):** The DHS/PSO encourages private-sector preparedness for incident management by:
  - Identifying and promoting security and preparedness activities in national preparedness, prevention, response, and recovery.
  - Promoting educational efforts to prepare for natural disasters or terrorist incidents.
  - Encouraging the identification and sharing of best practices through promoting use of consensus standards and best practices.

DHS/PSO provides representatives to the National Operations Center (NOC) components as required, and to the Joint Field Office (JFO) to enable strategic coordination with the private sector during incidents requiring a coordinated Federal response.

- **Office of Infrastructure Protection (DHS/OIP):** DHS/OIP supports prevention, preparedness, response, and recovery efforts involving CIKR, in accordance with HSPD-7, and other private-sector entities as appropriate, through facilitating and coordinating protection and response planning, procedures, and exercises. DHS/OIP implements the programmatic policy and strategy for information sharing.

DHS/OIP is responsible for the implementation and ongoing management and maintenance of the *National Infrastructure Protection Plan (NIPP)*. The *NIPP*, and its associated CIKR Sector-Specific Plans (SSPs), work in conjunction with the *NRF* and its supporting annexes to provide a foundation for CIKR preparedness, protection, response, and recovery efforts in an all-hazards context.

As noted above, the CIKR Support Annex provides the authoritative and more comprehensive discussion of the policies and concept of operations for assessing, prioritizing, protecting, and restoring CIKR during incidents.

Day-to-day public-private coordination structures, information-sharing networks, and risk management frameworks used to implement *NIPP* steady-state CIKR protection efforts continue to function and provide coordination and support for CIKR protection and restoration for incident management activities under the *NRF*.

The *NIPP* establishes the overall risk-based construct that defines the unified approach to protecting the Nation's CIKR in an all-hazards context, and specifies procedures and activities to reduce risk to the Nation's CIKR on a day-to-day basis, including:

- The sector partnership model that encourages use of Sector Coordinating Councils (SCCs), Government Coordinating Councils (GCCs), and cross-sector coordinating councils to create an integrated national infrastructure protection framework for CIKR protection and restoration across sectors.
- The networked approach to CIKR information sharing that provides for multidirectional CIKR-related exchanges of actionable intelligence, alerts and warnings, best practices, and other matters between and among various nodes including: Federal CIKR Sectors; State, tribal, and local entities; the Intelligence Community; law enforcement; and CIKR owners and operators.

The "value proposition" set forth in the *NIPP* articulates guiding principles for coordination and cooperation between government and the CIKR sector. In accordance with these principles, the Federal Government:

- Provides CIKR owners and operators timely, accurate, and actionable all-hazards information.
- Ensures CIKR owners and operators are engaged at senior executive and operational levels primarily through respective SCCs.
- Articulates benefits of a risk-based, cross-sector approach to preparedness, resilience, and protection.
- Works with CIKR owners and operators to clearly establish priorities for prevention, protection, and recovery.
- Articulates the mutual benefits of all-hazards preparedness to Federal, State, tribal, and local governments as well as to CIKR owners and operators, thereby underscoring the importance of private-sector participation in preparedness, prevention, response, and recovery efforts. (See the CIKR Support Annex for more information on the value proposition for private-sector action.)

Key DHS/OIP functions that support coordination with CIKR private-sector entities for incident management include:

- Facilitating information sharing and situational awareness with security partners.
- Facilitating coordination of a sector partnership model that fosters cooperation and collaboration between government and private-sector owners and operators within each of the 17 CIKR Sectors.
- Facilitating the development, implementation, and exercise of CIKR support as an integrated element of response plans across sectors, and other industry sectors as appropriate.
- Supporting sectors in developing their own sector coordination and information-sharing mechanisms.
- Deploying Infrastructure Liaisons to the NOC components including the National Response Coordination Center (NRCC) and the Interagency Management Planning Team (IMPT) to facilitate coordination with the CIKR sectors at the national level.
- Deploying Infrastructure Liaisons and/or Advisors (Specialists) as requested to the Regional Response Coordination Center (RRCC), JFOs and other field facilities, and State, tribal, or local emergency operations centers, as needed, to provide coordination and liaison functions to the CIKR sectors.

Although the role of the Infrastructure Liaison is comprehensively described in the CIKR Support Annex, high-level responsibilities can be found below.

- Serves as the principal advisor regarding national and regional CIKR, and other relevant businesses and industry.
- Coordinates with private-sector entities, SSAs, and State, tribal, and local governments.
- Acts as liaison between national- and regional-level CIKR, the private sector, and the Unified Coordination Group by conveying information about the Nation's CIKR and private-sector status.
- Facilitates operational-level communication with the private sector during an incident.
- Communicates with the DHS/OIP representative at the IMPT, NRCC, and National Infrastructure Coordinating Center (NICC).

The Infrastructure Liaison focuses on the broad impacts and status of actions relating to affected CIKR, as opposed to the direct provision of goods or services.

Restoration of critical infrastructure and operational coordination with impacted telecommunications, energy, and other utilities and systems is conducted through the established ESFs.

- **National Infrastructure Coordinating Center (NICC):** The NICC monitors the Nation's CIKR on a 24/7 basis and provides a mechanism and process to share and exchange information with the private sector and the HSPD-7 SSAs.

In incidents requiring a coordinated Federal response, the NICC is a key component in providing situational and operational awareness and the capability to rapidly share information with private-sector entities as required.

## Sector-Specific Agencies

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SSAs, as designated in HSPD-7, focus on overarching CIKR protection, risk management, and information sharing by working collaboratively with relevant Federal departments and agencies; State, tribal, and local governments; CIKR owners and operators; and other private-sector entities.

In cooperation with DHS/OIP, SSAs collaborate with private-sector security partners to encourage:



- Supporting comprehensive risk assessment/management programs for high-risk CIKR.
- Sharing real-time incident notification, as well as CIKR protection best practices and processes.
- Developing information-sharing and analysis mechanisms to include physical and cyber threats.
- Building security-related information sharing among public and private entities.

**Private-Sector Involvement With Incident Management Organizations:** Private-sector involvement with incident management organizations is determined by the nature, scope, and magnitude of the incident.

**Private-Sector Incident Management Organizations:** Private entities such as businesses and industry associations develop, validate, exercise, and implement security and business continuity plans to ensure their capability to deliver goods and services. Assessments of, and contingency plans for, the disruption of a private entity's supply chain and other dependencies are usually included in this planning.

Private-sector owners and operators, in many locations, coordinate plans for security and continuity/contingency programs with State, tribal, and local entities.

In accordance with the *NIPP*, CIKR sectors use established information-sharing arrangements to facilitate coordination necessary to share homeland security information with competitors and governments.

Representative private-sector incident management organizations may be established to assist Federal, State, tribal, or local regional-level or local coordination centers or field offices to facilitate interaction, communication, and coordination with the private sector.

**State and Local Incident Management Organizations:** Many States coordinate across regions to support various response activities. Their incident management organizations act as conduits for requests for Federal assistance when an incident exceeds local and private-sector capabilities.

Private-sector organizations, either for-profit or not-for-profit, may be included in the Incident Command Post.

**Federal Incident Management Organizations:** Private-sector for-profit and not-for profit organizations, as well as State, tribal, local, and NGOs are encouraged to assign liaisons to the JFO to facilitate interaction, communication, and coordination. In some instances, the Unified Coordination Group may include not-for-profit and/or for-profit organization representatives.

## Notification and Reporting

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Private-sector for-profit and not-for-profit organizations, like Federal, State, tribal, and local governmental organizations, report threats, incidents, and potential incidents to the NOC using existing jurisdictional incident reporting mechanisms and reporting channels. The NOC receives threat and operational information regarding incidents or potential incidents from these organizations and jurisdictions and makes an initial determination to initiate the coordination of Federal incident management activities.

In partnership with the NOC, the DHS/OIP manages the daily analysis of incident-related reports and information. This management includes maintaining communications with private-sector critical infrastructure information-sharing mechanisms.

During national-level incidents that require Federal coordination, the NICC conducts daily teleconferences with the CIKR sector information-sharing mechanisms and SSAs to discuss incident-related activities and sector status.

**CIKR Incident-Related Communication:** The DHS Office of Public Affairs (DHS/OPA) works in conjunction with DHS/OIP and the DHS Assistant Secretary for the Private Sector providing timely public information to the CIKR sectors and their affiliated entities (through conference call, e-mail, or both) during national-level incidents that require a coordinated Federal response.

The CIKR incident communications system is modeled after processes set forth in the *NRF* Public Affairs Support Annex to ensure coordination with Federal, State, tribal, and local entities.

DHS/OPA communication actions include the following:

- Providing the overarching coordination lead for incident communications to the public, including the special needs population, during an incident requiring a coordinated Federal response.
- Maintaining a standing conference line for use by CIKR incident communications coordinators.
- Coordinating and disseminating line access information in coordination with DHS/OIP.
- Maintaining a contact list, including e-mail information, of CIKR incident communications coordinators.
- Coordinating with SSAs to share public information and messages for SCCs.

DHS/PA works in coordination with ESFs and SSAs to identify organizations and/or individuals (e.g., SCCs, sector-identified information-sharing mechanisms such as Information Sharing and Analysis Centers (ISACs), major trade associations and other private-sector organizations as appropriate, and State, tribal, and local entities) to act as focal points for incident communications with the private sector. These organizations and individuals are selected based on their ability to disseminate information to and coordinate with a broad array of other organizations and individuals.

Representatives serve as the primary reception and transmission points for incident communications products from DHS/PA, ESFs, and SSAs, and they retain responsibility for dissemination to counterpart communicators to ensure information is distributed widely.

## **ACTIONS RELATED TO OPERATIONS WITH THE PRIVATE SECTOR**

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### **Preincident**

DHS/PSO facilitates the development and presentation of general educational programs for the private sector that increase awareness and understanding of terrorist threats and prevention and mitigation activities, encourages the sharing of appropriate information and use of best practices that contribute to early warning of potential incidents, and supports private-sector participation in exercises.

DHS/OIP facilitates and encourages the organization of industry sectors to cooperate on information sharing and other prevention and mitigation activities.

DHS/OIP maintains relationships with the CIKR sector to identify requirements for capabilities and support. DHS/OIP develops and implements programs and capabilities that continuously improve the two-way exchange of information with the private sector.

DHS/OIP maintains situational/operational awareness of CIKR through the NICC working in conjunction with the information-sharing mechanisms. It assesses the data it receives to identify anomalies in sector operations, working closely with CIKR owners and operators. After assessing information on incidents and threats, it disseminates alerts, warnings, and advisories for both government and private-sector entities.

DHS/OIP, in collaboration with SSAs, encourages, facilitates, and coordinates CIKR and other industry sectors to develop and implement industry best practices for preparedness, perform sector-wide preparedness planning and implementation, plan coordination with regional and local government plans, and perform cross-sector integration of plans.

DHS/OIP supports sector-specific and cross-sector exercises and provides representation in exercises led by the private sector and State, tribal, and local governments.

### Initial Actions

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Actions are initiated at DHS Headquarters, the NOC, the NRCC, the NICC, and RRCCs to facilitate coordination with relevant private-sector entities.

The ESFs also implement established protocols for coordination with private-sector counterparts at the national and regional levels. To facilitate private-sector coordination, DHS assigns representatives to the various *NRF* organizational structures.

The DHS/PSO representatives act as a liaison to communicate at a strategic level to private-sector leadership. DHS/PSO facilitates communication with private-sector senior leadership and with the NRCC and NICC to maintain awareness of private-sector issues and needs as a complement to awareness being achieved by DHS/OIP. They also coordinate the incident's economic impact assessment with private-sector senior leaders, internal DHS partners, and other Federal department or agency liaisons as appropriate.

At the NOC Watch, the DHS/OIP representative monitors the operational status of CIKR and facilitates coordination and sharing of situational awareness with and among the CIKR and other industrial sectors as needed.

The NICC coordinates between the owners and operators of CIKR and other private assets, and the appropriate SSAs, to ensure that all are informed regarding activities pertaining to their areas of responsibility. SSAs coordinate with the NICC to ensure that it is informed regarding CIKR vulnerabilities and activities and in support of the DHS common operating picture.

The Infrastructure Liaison at the JFO facilitates coordination between the Unified Coordination Group, and Principal Federal Official, if appointed, with the national-level *NRF* elements and appropriate ESF representatives regarding local/regional matters relating to CIKR and the private sector.

The Infrastructure Liaison provides analysis and recommendations to the Unified Coordination Group regarding restoration of the infrastructure and related allocation and prioritization of limited resources. (See the CIKR Support Annex for further discussion of Infrastructure Liaison roles and responsibilities.)

**Emergency Support Functions:** At the NRCC, RRCC, and JFO, the ESFs establish contact with private-sector counterpart organizations and/or industry, including representative private-sector organizations created for such incident to assist in assessment of impacts and identification of resources available to support potential or actual incident management efforts.

In some circumstances, priorities of incident management actions are developed by a partnership of Federal, State, and private-sector entities.

### Ongoing Actions

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Private-sector entities are responsible for the repair, restoration, and security of their property, and first seek reimbursement for disaster losses from insurance or other sources.

Federal disaster assistance may be available, primarily in the form of low-interest disaster loans from the U.S. Small Business Administration.

DHS/PSO and other DHS entities, as assigned, assist and facilitate private-sector relationships with DHS as they implement recovery plans and return to normal operations.

The NICC maintains situational awareness through the recovery of CIKR and acts as a conduit of information to and from sectors through the NICC.

DHS/OIP assists or facilitates infrastructure owners and operators with the restoration of facilities, working under existing authorities, in coordination with private-sector organizations and consortia that are organized for these purposes.

## RESPONSIBILITIES

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### Coordinating Agency: DHS

DHS:

- Develops plans, processes, and relationships, and facilitates coordinated response planning with the private sector at the strategic, operational, and tactical levels.
- Shares information, including threats and warnings, before, during, and after an incident.
- Informs and orients the private sector on the contents of the *NRF*, and encourages and facilitates the development and coordination of equivalent private-sector planning.
- Coordinates and conducts national and regional incident management functions with the private sector and State, tribal, and local governments.
- Develops, implements, and operates information-sharing and communication strategies, processes, and systems with homeland security stakeholders.

### Cooperating Agencies

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The primary agency(ies) for each ESF is responsible for developing and maintaining working relations with its associated private-sector counterparts through partnership committees or other means (e.g., ESF #2 – Communications: telecommunications industry; ESF #10 – Oil and Hazardous Materials Response: oil and hazardous materials industry; etc.).

**Private-Sector Entities**

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Private-sector organizations support the *NRF* either through voluntary actions to help ensure business continuity or by complying with applicable laws and regulations.

To assist in response and recovery from an incident, private-sector organizations:

- Take responsibility for their internal preparedness by:
  - Identifying risks, performing vulnerability assessments.
  - Developing contingency and response plans.
  - Enhancing their overall readiness.
  - Implementing appropriate prevention and protection programs.
  - Coordinating with their suppliers and CIKR customers to identify and manage potential cascading effects of incident-related disruption through contingency planning.
- Accept responsibility to:
  - Share information appropriate within the law with the government.
  - Provide goods and services through contractual arrangements or government purchases, or and where appropriate, mutual aid and assistance agreements with host communities.
  - Act as corporate citizens to donate and facilitate donations by others of goods and services.
  - Certain organizations are required to bear the cost of planning and response to incidents, regardless of cause. When requested by DHS, these private-sector organizations are expected to mobilize and employ the resources necessary and available in accordance with their plans to address the consequences of incidents at their own facilities or incidents for which they are otherwise responsible.

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### Coordinating Agency:

Department of Homeland Security

### Cooperating Agencies:

All

## INTRODUCTION

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### Purpose

This Public Affairs Support Annex describes the interagency policies and procedures used to rapidly mobilize Federal assets to prepare and deliver coordinated and sustained messages to the public in response to incidents requiring a coordinated Federal response.

### Scope

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As part of the Secretary of Homeland Security's responsibility to coordinate incident management under Homeland Security Presidential Directive 5, the *National Response Framework (NRF)* Incident Communications Emergency Policy and Procedures (ICEPP) provides detailed guidance to Federal incident communicators on activities to be initiated in conjunction with incidents requiring a coordinated Federal response. It is applicable to all Federal departments and agencies responding under the *NRF*. It establishes mechanisms to prepare and deliver coordinated and sustained messages regarding incidents requiring a coordinated Federal response, and provides for prompt Federal acknowledgement of an incident and communication of emergency information to the public during incident management operations.

The ICEPP is comprised of two annexes contained in the *NRF*:

- **Public Affairs Support Annex:** Describes the interagency policies and procedures for incident communications with the public.
- **ESF #15 – External Affairs Annex:** Outlines the functions, resources, and capabilities for external affairs.

Additionally, the ESF #15 Standard Operating Procedures (SOP) exist within the parameters established by the *NRF*. The SOP establishes specific procedures and protocols for ESF #15 to support Federal domestic incident management during an incident requiring a coordinated Federal response.

The policies outlined in all of these documents are based on, and flow through, the *NRF*, the *National Incident Management System (NIMS)*, and the ESF #15 SOP, which further outlines the guidance, protocols, and tactics of the Joint Information System (JIS), the Incident Command System (ICS), and Federal external affairs actions. All of these elements are integrated with and supported through the ESF #15 resource management structure.

### Policies

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The *NIMS* institutes an integrated concept, termed "incident communications," as the approach used to manage communications with the public during incidents requiring a coordinated Federal response. Incident communications incorporates the following processes:

- **Control:** Identification of incident communications, primary and supporting department and agency roles, and authorities for release of information.
- **Coordination:** Specification of interagency coordination and plans, notification, activation, and supporting protocols.

- **Communications:** Development of accessible message content such as incident facts, health risk concerns, preincident and postincident preparedness recommendations, warning issues, incident information, messages, audiences, and strategies for when, where, how, and by whom the messages will be delivered.

General guidance on the authority to release information is in accordance with existing plans, operational security, law enforcement protocols, designated coordinating and primary agency assignments, and current procedures. Nothing in this annex limits the authority of State, tribal, and local authorities to release information regarding an incident under their jurisdiction, particularly if it involves immediate health and safety issues.

State, tribal, and local authorities retain the primary responsibility for communicating health and safety instructions for their population. Information should be made available in languages other than English and in alternate formats, as necessary.

Integration and teamwork among Federal, State, tribal, and local authorities is essential. State, tribal, and local authorities are encouraged to contact Department of Homeland Security (DHS) Public Affairs as they release initial or follow-on information. DHS Public Affairs engages with State, local, tribal, and affected private-sector counterparts as soon as possible during an actual or potential incident to synchronize overall incident communications to the public.

## CONCEPT OF OPERATIONS

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### General

During an incident, Federal, State, tribal, and local authorities share responsibility for communicating information regarding the incident to the public. These actions are a critical component of incident management and must be fully integrated with all other operational actions to ensure the following objectives are met:

- Delivery of incident preparedness, health, response, and recovery instructions to those directly affected by the incident.
- Dissemination of incident information to the public, including special needs populations.

The Joint Information Center (JIC) structure provides a supporting mechanism to develop, coordinate, and deliver messages. It supports the Incident Commander or Unified Command and the associated elements of the ICS.

A Federal core group develops, coordinates, and delivers information and instructions to the public related to:

- Federal assistance to the incident-affected area.
- Federal departmental/agency response.
- National preparations.
- Protective measures.
- Impact on nonaffected areas.
- Federal law enforcement activities.

Assignments to this core group are determined by the DHS Office of Public Affairs (OPA) in accordance with jurisdictional and statutory responsibilities, operational tasks, areas of expertise and responsibility, and the nature and location of the incident.



The DHS OPA has primary responsibility for coordinating the Federal incident communications effort by:

- Providing a leadership role during domestic incidents when significant interagency coordination is required.
- Identifying Federal department and interagency participants, and arranging conference calls and other activities necessary for ESF #15 coordination.
- Establishing a strategic communications flow during an incident requiring a coordinated Federal response.
- Designating an ESF #15 team comprised of external affairs officials from various Federal Government departments and agencies.
- Providing coordination with the Homeland Security Council (HSC) and other entities within the Executive Office of the President on matters related to dissemination of incident-related information to the public.

## Communications Team

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The Federal Government operates as a team to ensure successful incident communications with the public. From initial notifications to final recovery actions, the Federal team must operate and speak with a unified voice and consistent message that is coordinated not only with the different Federal authorities involved in an incident, but also with affected State, tribal, and local authorities.

The organizational approach for public affairs and incident communications with the public relies on the following organizations and positions:

- **Incident Management Planning Team (IMPT):** As a member of the DHS IMPT, a DHS OPA planner writes public affairs annexes for each of the National Planning Scenarios.
- **Joint Information Center:** A JIC is a central point for coordination of incident information, public affairs activities, and media access to information regarding the latest developments. In the event of incidents requiring a coordinated Federal response, JICs are established to coordinate Federal, State, tribal, local, and private-sector incident communications with the public. Major announcements, daily briefings, and incident updates from the JIC are coordinated through DHS Public Affairs; affected State, tribal, and local leadership; and the interagency core group prior to release. This must be closely assessed and agreed upon in the early stages of an incident by all involved in incident communications with the public.
- **Incident JIC:** The incident JIC is the physical location where all public affairs professionals involved in the response work together to provide critical emergency information, media response, and public affairs functions. The JIC serves as a focal point for the coordination and dissemination of information to the public and media concerning incident preparedness, response, recovery, and mitigation. The JIC may be established at an on-scene location in coordination with State, tribal, and local agencies depending on the requirements of the incident. In most cases, the JIC is established at or is virtually connected to the Joint Field Office (JFO), under the coordination of DHS Public Affairs. However, the most important consideration concerning location will be the proximity to the incident. It would likely be established following multiple hurricanes or other natural disasters. This JIC is also the location military public affairs officers should deploy to if a Joint Task Force is established to support the incident.

- **Virtual JIC:** A virtual JIC links all participants through technological means (secure or nonsecure) when geographical restrictions, incident management requirements, and other limitations preclude physical attendance by public affairs leadership at a central location. The National Incident Communications Conference Line (NICCL) is a Virtual JIC. Virtual JICs continue as long as the situation warrants and prevents collocation of public affairs assets.
- **Satellite JIC:** The Satellite JIC is a forward-deployed component of an incident JIC. Smaller in scale, a Satellite JIC is established to provide a scalable and flexible capability for timely release of information, as the incident situation evolves. A Satellite JIC may be established to support a specific press event.
- **Area JIC:** Multiple JICs may be used when there are multiple JFOs to support the area command ICS structure. Procedures and processes specified in the *NIMS* and the ICEPP should be employed whenever multiple JICs are operating in support of the same or related incidents and jurisdictions. Coordination between the Area JICs is important to ensure mutual awareness and consistency in messaging and public instructions between all participants.
- **National JIC:** The National JIC is activated when an incident requires a coordinated Federal response. Incidents of great magnitude with high media interest require Federal coordination that is expected to be of a long duration (i.e., weeks or months). The incident would likely affect a large area of the country. A National JIC could be established outside Washington, DC, or any other major metropolitan area following a Federal continuity of operations (COOP) plan.
- **JIC Staffing Components:** JIC organization and staffing components are based on the template established in the ESF #15 SOP.
- **External Affairs Officer:** ESF #15 provides the External Affairs Officer to the JFO Unified Coordination Staff during an incident requiring a coordinated Federal response. The External Affairs Officer, or ESF #15 Officer, serves as the primary external affairs advisor to the Federal Coordinating Officer (FCO)/Federal Resource Coordinator (FRC), JFO Unified Coordination Group, and Principal Federal Official (PFO), if designated.

The External Affairs Officer reports to the ESF #15 Director and the Unified Coordination Group. Specific duties include coordinating and developing the external affairs and communications strategy in support of the Unified Coordination Group and the Incident Action Plan; coordinating the external affairs information flow within the JFO and among other Federal, State, tribal, and local counterparts; and facilitating site visits by governmental officials, foreign dignitaries, and other VIPs. The External Affairs Officer differs from a press secretary, who may be assigned to directly support a PFO, when designated.

Other ESF #15 personnel include:

- **Multistate/Single PFO – ESF #15 External Affairs Officer:** Certain coordinated Federal responses may require a single designated PFO for the incident with multiple FCOs and staffs in affected States. In this case, an ESF #15 Deputy External Affairs Officer for the respective State(s) and supporting FCO(s) will be identified. In order to ensure unity of effort, ESF #15 Deputy External Affairs Officers will coordinate activities with the PFO's ESF #15 External Affairs Officer.
- **Initial ESF #15 External Affairs Officer:** This officer may be assigned in the event of a no-notice incident requiring a coordinated Federal response, pending arrival of the permanently assigned officer.

- **Other External Affairs Staff Personnel:** Include the ESF #15 Deputy and Executive officers, a Press Secretary, a PFO liaison (if a PFO is appointed), and Assistant External Affairs Officers for Congressional Affairs; State, Local, and Tribal Affairs; the Private Sector; Community Relations; and Planning and Products.

The organizational approach for public affairs and incident communications with the public also includes the following coordination systems:

- **National Incident Communications Conference Line (NICCL):** The NICCL is a standing conference line designated, maintained, and supported by DHS Public Affairs as the primary means for interagency incident communications information sharing during an incident requiring Federal coordination. DHS Public Affairs provides guidance to Federal interagency public affairs headquarters staffs and affected authorities through the NICCL.
- **State Incident Communications Conference Line (SICCL):** The SICCL is a dedicated Federal-State incident communications conference line also designated by DHS Public Affairs to facilitate the inclusion, transmission, and exchange of incident management information and messaging to all States and territories.
- **Private Sector Incident Communications Conference Line (PICCL):** The PICCL is a standing line for use by the Critical Infrastructure/Key Resources (CIKR) incident communications coordinators. Access information will be coordinated and disseminated by DHS Infrastructure Protection and DHS Public Affairs to provide timely public information to the CIKR sectors during an incident requiring Federal coordination and response.
- **Homeland Security Information Network (HSIN):** HSIN provides the incident communications team with an encrypted online Web system for record communications, chat room capability, and a real-time capability to post and review documents. The HSIN also is used by the DHS National Operations Center (NOC) to coordinate Homeland Security operations with interagency participants. DHS Public Affairs manages access, account support, and administrative issues relating to the HSIN for public affairs coordination.
- **Connectivity and Operations Center Support:** In the event that normal communications are lost or degraded, the core group communicates with DHS Public Affairs through respective Federal, State, tribal, and local emergency operations and command centers. The NOC provides support for this task. Department and agency incident communications COOP plans should incorporate relocation and alternate operating location provisions.

## Managing Incident Communications

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For incidents requiring a coordinated Federal response, Federal public affairs offices must immediately work together across all departments and the ESFs to communicate with the public. The integration and coordination of the public information office associated with each ESF will ensure the Federal Government is communicating a complete message. This section describes incident communications control processes that delineate primary roles, primary agency functional areas, and authority for release of information.

**Initial Actions:** The NOC Senior Watch Officer and the DHS Assistant Secretary for Public Affairs (AS/PA) have specific responsibilities for immediate actions in the event of an incident. These include:

- **Incident Requiring a Coordinated Federal Response:** The NOC Senior Watch Officer notifies the DHS AS/PA and Director of Incident Communications, who in turn direct implementation of the ICEPP and immediate public affairs staffing to respond to the incident.
- **Other Domestic Incidents:** The ICEPP may be implemented by the DHS AS/PA at the discretion of the Secretary of Homeland Security in support of other domestic incidents requiring NOC participation.

The DHS National Joint Information Center (NJIC) will serve as the Federal incident communications coordination center during incidents. The virtual Federal interagency team and NICCL are controlled from the NJIC.

**Assignments:** For an incident requiring a coordinated Federal response, DHS Public Affairs coordinates the Federal activities related to incident communications with the public. Departments, agencies, and other authorities may retain primary incident communications responsibility for specific tasks. Primary assignments are confirmed during initial conference calls and may include the following:

- Preparedness
- Protective measures
- Incident management
- Law enforcement
- Medical or behavioral health
- Environmental
- Family assistance and victim issues
- Special needs communications
- Evacuation/sheltering of household pets
- Search and rescue
- Technical or forensic matters
- Recovery assistance
- Federal personnel management

**Interagency Public Affairs Directors:** Federal interagency public affairs directors and their public affairs offices maintain a close working relationship with the DHS AS/PA and the Director of Incident Communications.

**Initial Coordination:** Establishing communications with participants is a primary objective during the first minutes of plan activation. A streamlined process ensures that appropriate participants and decisionmakers are linked together (by virtual or other means) to manage incident communications with the public. In coordination with White House communications, the Secretary of Homeland Security makes initial formal statements and public safety recommendations supported by other Cabinet officers and senior officials, as appropriate. DHS Public Affairs establishes communications paths to enable the following:

- **Headquarters Level:** Consultation with White House Communications, DHS senior leadership, the NOC, and the IMPT.
- **Interagency Level:** Consultation with the Federal interagency through the NICCL from the OPA. The conference line is activated and used to communicate with interagency public affairs officials and affected State, tribal, and local counterparts. Federal interagency public affairs participants are designated and a virtual headquarters-level JIC assesses control, coordination, and communications issues for incident communications with the public. The initial conference assesses and assigns primary agency roles and reaches agreement on releases, talking points, and sustaining communications effort and strategy.

- **Incident Site:** When an incident occurs within their jurisdiction, State, tribal, and local authorities take the lead to communicate public information regarding the incident. DHS Public Affairs makes every attempt to establish contact with the incident site(s) and participating Federal, State, tribal, and local communicators to gain incident facts, operational response updates, media coverage, and messages under consideration or already delivered.
- **News Media:** Contact with key news media to inform them about the incident and its status, provide initial information to counter speculation and rumors, and make available, where necessary or known, immediate operational, health, and safety guidance. Departments and agencies should closely coordinate media queries during this critical phase to ensure that the approved interagency plan is being executed.

**Sustaining Coordination:** Leadership for incident communications with the public uses the JIS and incident communications processes to organize and operate a sustained, integrated, and coordinated strategy ensuring the delivery of timely, accurate, consistent, and accessible information to the public. Resources for these activities are provided through ESF #15. This sustained coordination effort includes Federal, State, tribal, local, and nongovernmental entities involved with incident communications with the public. DHS Public Affairs coordinates department and independent agency headquarters-level communications with the public as necessary throughout the incident, focusing on both the incident locale and nonaffected areas to ensure continuity and synchronization between the Federal, State, tribal, and local communications teams.

## Actions Supporting Incident Communications With the Public

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Actions supporting incident communications with the public are keyed to the major components of incident management and incorporate special considerations as appropriate to the specific circumstances associated with the incident. Phasing of incident communications actions and special considerations that relate to incident communications with the public are detailed in the following subsections. Information for the public needs to be made available in languages other than English and in alternate formats as necessary through all phases of an incident.

### Actions Relating to Incident Management Components

**Preparedness:** Preparedness for incident communications activities includes those measures taken before an incident to prepare for or mitigate the effects. Preparedness as it relates to incident communications with the public includes:

- Evacuation, warning, or precautionary information to ensure public safety and health and effective transportation and sheltering of household pets.
- Public and media education, including weapons of mass destruction information.
- Preparation and readiness to develop and deploy public service announcements and health advisory information.
- Testing and coordination of emergency broadcast and alerting systems.

Preparedness communications guidance and messaging support is provided through a number of resources, including websites. Some of those sites are: [www.ready.gov](http://www.ready.gov), [www.pandemicflu.gov](http://www.pandemicflu.gov), [www.cdc.gov](http://www.cdc.gov), and [www.redcross.org](http://www.redcross.org). Other Federal department and agency websites provide authoritative and scientifically based information on threats, health preparedness, and recovery-phase actions.

**Response:** Response processes mitigate the effects of unanticipated problems and facilitate orderly management of an incident. Response activities for incident communications with the public include:

- Rapid mobilization of incident communications resources to prepare and deliver coordinated, sustained, and accessible messages according to a well-planned strategy. DHS Public Affairs coordinates the Federal incident communications response.
- Immediate and continuing dissemination of operational, health, or safety instructions, if necessary. This may also include evacuation or decontamination instructions.
- Coordination of initial Federal announcements regarding an incident with State, tribal, and local authorities to ensure that the public is receiving a consistent and accessible message.
- Activation of ESF #15 to support the incident communications effort with appropriate resources.
- Making available preidentified subject-matter experts to the media to provide accurate scientific, medical, and technical response information.
- Designation of an ESF #15 External Affairs Officer to support the PFO, if one is designated.
- Establishment of a JIC near the incident site to support the JFO and PFO, if one is designated.
- Dissemination of information to the public on reassurance that authorities are implementing response and recovery actions to ensure the health, safety, and security of the public.
- Communications to other, nonaffected States about incident details, preparedness measures, and reassurance through the SICCL.
- Deployment of public affairs resources from other Federal departments and agencies as required by the scope of the incident.
- Development and implementation of a joint sustaining communications plan and effort by Federal, State, tribal, and local authorities that ensures accessible means of outreach to special needs populations.

General planning guidance for incident communications with the public is contained in Table 1 at the end of this annex. This matrix reflects incident actions and commensurate incident communications response activities for a nonspecific incident requiring Federal coordination. Key communications phase activities are summarized.

**Recovery:** Incident communications and public affairs efforts are sustained as long as necessary to continually reassure, inform, and respond to public information needs. These efforts are closely coordinated with State, tribal, and local authorities. Recovery programs include mitigation components designed to avoid damage from future incidents. Typical recovery actions for incident communications with the public may include:

- Providing accessible public information on response and progress in restoring normalcy. Emphasis is placed on mitigating or reducing social and emotional anxiety and concern.
- Providing accessible public information on disaster assistance and support resources.
- Recognition of the efforts of responders, citizens, and the private sector.

## **Public Alerting and Mass Communications Systems**

The Emergency Alert System (EAS) is a tool for the President to quickly send important emergency information to the Nation using radio, television, and cable systems. The EAS is available for State, tribal, and local use, but such use is voluntary on the part of the EAS participant.

**ESF #15 Release Authority:** Through authorized spokespersons, the Federal Government will respond to media requests for information, interviews, and imagery. The ESF #15 Officer is authorized to approve press releases, interviews, news briefings, and statements to the media. Significant policy statements and potentially sensitive external materials should be coordinated with the FCO, FRC, or PFO (if appointed) before release. Spokespersons are identified as early in the response process as possible. Spokespersons may include incident management leadership and public affairs professionals. Federal, State, tribal, and local incident communications with the public must ensure that spokespersons are fully prepared with current information and incident facts, incident messages, and incident management roles and responsibilities. Scientific, technical, and medical experts should be identified and available for briefings and interviews throughout the incident. These experts are critical to ensuring that a message is clearly transmitted into common terms and is received by the audience with credibility.

**Media Access:** Media may be embedded in Federal Government departments and agencies responding to a domestic incident. Access is based on the adherence to ground rules and policies in the ESF #15 SOP. Media access will not be granted if ongoing law enforcement operations or the prosecution of forthcoming legal action will be jeopardized.

## **Special Needs Populations**

Special needs populations must also be considered by authorities as a community prepares to respond to an incident. Emergency communications, including public information associated with emergencies, must be in accessible formats for persons with disabilities and individuals with limited English proficiency. The types of information important to deliver to special needs populations include the location of shelters and food, availability of transportation, and health care locations and availability.

## **Animal Evacuation and Sheltering**

Authorities must consider the needs of household pets as a community prepares to respond to an incident. Emergency communications, including public information associated with emergencies, must address evacuation, transportation, and sheltering of individuals and their household pets. The types of information important to deliver to these populations include the identification and location of pet-friendly shelters and food; specific State, tribal, and local transportation programs available for household pets; and reunification of pet populations with their human counterparts. Also critical is clear guidance in disaster messaging that differentiates animal-related issues such as decontamination, quarantine, and hazmat incidents.

## **Medical and Mental Health Support**

Federal resources; State, tribal, and local authorities; the American Red Cross; and other agencies and organizations provide mental health assistance and support to the public following an incident requiring Federal coordination. This includes efforts to mitigate concerns, anxiety, and fear from new attacks or incidents, and to instill public confidence in the capabilities of responders, authorities, and plans.

### Non-Federal Incidents

Many incidents do not require the direct involvement of the Secretary of Homeland Security. However, DHS and its OPA may assume responsibility or provide a major role during these domestic incidents when significant interagency coordination is required. Notification, activation, and response processes are discussed in preceding sections of this annex. Communications with the public during major domestic incidents are based on the following activities:

- DHS Public Affairs assesses the requirements for incident communications with the public in coordination with the NOC and coordinates Federal public affairs activities for the incident, unless otherwise directed by the Secretary;
- DHS Public Affairs contacts the affected State, tribal, and local counterparts and, through mutual agreement, confirms primary roles and plans; and
- In coordination with participating State, tribal, and local counterparts, the core Federal departmental/agency group develops and delivers public information and instructions. Primary assignments are determined in accordance with jurisdictional and statutory responsibilities, operational tasks, areas of expertise and responsibility, and the nature and location of the incident.

### Catastrophic Planning

In the event of extraordinary levels of mass casualties, damage, or destruction, communications may be challenging. The Catastrophic Incident Annex outlines the resources and capabilities used in support of such an event. Numerous Federal departments and agencies would be involved in communications, especially in the event DHS OPA is not capable of coordinating and communicating.

## RESPONSIBILITIES

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### Coordinating Agency: DHS

DHS, through the AS/PA and OPA:

- Plans, prepares, and executes Federal leadership and ESF #15 resource management during incidents requiring a coordinated Federal response and other domestic incidents.
- Coordinates plans, processes, and resource support to field operations for incident communications with the public through ESF #15, coordinates incident communications plans and processes with the White House Office of Communications and HSC, and coordinates interagency core group and JIC plans and processes.
- Designates an Operations Director based on the type and nature of the incident.
- Designates an ESF #15 External Affairs Officer to support the incident PFO, if one is designated.
- Coordinates Federal plans and processes for incident communications with the public with State, tribal, and local authorities as necessary.
- Coordinates plans and processes for incident communications with the public with nongovernmental organizations.



- Disseminates information related to incidents to the public.

### Federal Departments

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Federal departments and independent agencies:

- Plan, prepare, and execute their respective processes for incident communications with the public during incidents requiring Federal coordination.
- In conjunction with strategic communications guidance from DHS, assume certain primary agency responsibilities for incident communications with the public when assigned or consistent with specific departmental and agency authorities.
- Disseminate incident information to the public within their functional areas of responsibility.
- Ensure that departmental and agency plans incorporate the provisions contained in the *NRF* for incident communications with the public.

### Responsibilities for ICEPP Administration

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Responsibilities for the ongoing management, maintenance, update, and administration of the ICEPP are assigned as follows:

- **Responsibility:** The DHS AS/PA is responsible for preparation, management, and maintenance of the ICEPP.
- **Oversight:** The HSC provides oversight and coordination of policy issues relating to the ICEPP. The HSC and the DHS AS/PA jointly coordinate interagency clearance on the ICEPP, pending changes, exercise and incident lessons learned, and resolution of interagency coordination issues. Interagency Policy Coordinating Committees review and comment on proposed routine changes to the ICEPP.
- **Recurrent Review:** The DHS AS/PA reviews the ICEPP annually. Urgent changes are coordinated through the interagency process in an expeditious manner as necessary throughout the year.
- **Exercises and the National Exercise Program (NEP):** The ICEPP and the ESF #15 SOP are the primary Federal plans for incident communications with the public and are to be used for interagency exercises and those scheduled within the NEP.
- **Incident Communications Public Affairs Coordination Committee (ICPACC):** The ICPACC is a Federal interagency contact group incorporating public affairs representatives from all Cabinet departments and agencies to increase awareness, teamwork, and interoperability among Federal incident communications staffs. The ICPACC is not charged to conduct formal policy review, but may assess interagency issues dealing with the Public Affairs Support Annex. The DHS AS/PA manages the ICPACC and meets on a quarterly basis or as needed. The ICPACC meeting location rotates throughout the Federal Government to increase awareness and foster public affairs and interagency cohesiveness.

**Table 1. Interagency Incident Communications Planning Guide**

Incident Time	Incident Activity	Actions
<p><b>First Hour</b></p>	<ul style="list-style-type: none"> <li>• Incident</li> <li>• First official reports</li> <li>• Unconfirmed facts and rumors</li> <li>• First media reports</li> <li>• Potential live TV reports</li> <li>• Public has immediate need for information and possible health and safety instructions.</li> <li>• Media has immediate need for facts, information, and subject-matter experts.</li> <li>• Witness media reports</li> <li>• Victim family reports</li> <li>• Potential incident video</li> <li>• Unconfirmed casualty reports</li> <li>• Potential voluntary or directed evacuations</li> </ul>	<ul style="list-style-type: none"> <li>• NOC notified of incident.</li> <li>• Activate ICEPP protocols.</li> <li>• DHS NJIC activated.</li> <li>• Notify interagency of NICCL call.</li> <li>• DHS OPA initiates communications with affected State, tribal, local, or private-sector incident site communications counterparts.</li> <li>• ESF #15 is activated.</li> <li>• State, tribal, and local authorities may make first releases about the incident.</li> <li>• Initial health and safety release.</li> <li>• Emergency Alert System may be activated.</li> <li>• NOAA Weather Radio may be used to broadcast warning information.</li> <li>• NICCL Interagency call assesses:               <ul style="list-style-type: none"> <li>• Control/lead agency.</li> <li>• Coordination/planning.</li> <li>• Communications.</li> <li>• ESF #15 activation and deployments.</li> <li>• Virtual JIC established.</li> </ul> </li> <li>• Secretary of Homeland Security and/or other Cabinet and senior officials make first formal statement within an hour of the incident.</li> <li>• SICCL call with nonaffected States and territories.</li> <li>• Web page posted by DHS; links to other interagency websites.</li> <li>• Subject-matter experts identified.</li> <li>• ESF #15 activation order distributed.</li> <li>• ESF #15 External Affairs Officer and other personnel designated.</li> </ul>

Incident Time	Incident Activity	Actions
<p><b>First Day</b></p>	<ul style="list-style-type: none"> <li>• Continuing heavy media coverage</li> <li>• Media questions on the new alert status (if changed) and safety of the Nation and citizens</li> <li>• Response and recovery continues</li> <li>• Potential rumors</li> <li>• Continuing victim and family coverage in media</li> <li>• Search and rescue operations</li> <li>• Possible decontamination issues</li> <li>• Delivery of medicines, as appropriate</li> <li>• Arrival of supporting Federal resources, including PFO, medical, response, law enforcement, and incident communications with the public</li> <li>• Questions from media on why the incident happened and potential incidents elsewhere in the Nation</li> </ul>	<p>Interagency effort continues to focus on Federal response, protective measures, and reassurance; messaging includes deterrent measures, preparedness, and disaster assistance.</p> <ul style="list-style-type: none"> <li>• Homeland Security Advisory System (HSAS) level changed if necessary and protective measures incorporated in interagency plan for incident communications with the public.</li> <li>• DHS Public Affairs continues close coordination with NOC.</li> <li>• Followup statements and declarations by national leadership               <ul style="list-style-type: none"> <li>• Terrorism</li> <li>• Disaster</li> <li>• Emergency declarations</li> <li>• Stafford Act</li> </ul> </li> <li>• Followup NICCL calls continue while incident JIC is established to support JFO and incorporate Federal, State, tribal, and local authorities.</li> <li>• Incident JIC will perform functions per the ESF #15 SOP.</li> <li>• ESF #15 is activated and employed to coordinate resources for incident communications with the public.</li> <li>• Daily briefing routine established in coordination with all Federal, State, tribal, and local authorities.</li> <li>• PFO's ESF #15 External Affairs Officer prepares to deploy, if a PFO is designated.</li> <li>• Participating Federal departments and agencies publish supporting releases in accordance with interagency plan.</li> <li>• Messaging addresses potential medical or health safety instructions.</li> <li>• DHS Public Affairs coordinates preparation and distribution of nationally televised public service and health advisories.</li> <li>• Federal and other Web pages updated, coordinated, and linked.</li> <li>• JIC distributes statistical information, graphics, video, and photos as appropriate.</li> <li>• DHS initiates contact with the private sector through the PICCL.</li> </ul>

<b>Incident Time</b>	<b>Incident Activity</b>	<b>Actions</b>
<b>First Week</b>	<ul style="list-style-type: none"> <li>• Response and recovery continues.</li> <li>• Potential diminishing media coverage</li> <li>• Continuing victim and family coverage</li> <li>• Search and rescue operations</li> <li>• Possible decontamination issues</li> <li>• Disaster recovery, assistance support, and effectiveness of government and responder efforts</li> <li>• Delivery of medicines, as appropriate</li> <li>• Continued deployment and progress of supporting Federal resources, including medical, response, law enforcement, and incident communications with the public</li> </ul>	<ul style="list-style-type: none"> <li>• Interagency effort continues to focus on Federal response, protective measures, and reassurance; messaging includes deterrent measures, preparedness, and disaster assistance.</li> <li>• Daily briefing routine continues in coordination with all Federal, State, tribal, and local authorities.</li> <li>• DHS Public Affairs continues close coordination with NOC.</li> <li>• Incident JIC continues to support JFO; JIC performs standard functions and coordinates with PFO's ESF #15 External Affairs Officer.</li> <li>• ESF #15 resource coordination continues.</li> <li>• Federal participating departments and agencies continue to release supporting updates in accordance with interagency plan.</li> <li>• DHS Public Affairs coordinates nationally televised public service and health advisories.</li> <li>• Subject-matter experts continue to be made available.</li> <li>• Federal and other Web pages updated, coordinated, and linked.</li> <li>• Incident JIC distributes statistical information, graphics, video, and photos as appropriate.</li> <li>• Potential VIP visits to incident.</li> </ul>
<b>Recovery</b>	<ul style="list-style-type: none"> <li>• Media coverage greatly diminished.</li> <li>• Potential formal investigations</li> <li>• Emphasis on victims, cause of the incident, and effectiveness of response and recovery effort</li> <li>• Identification of personal stories and special situations</li> <li>• Impact of incident on the nonaffected States and society</li> </ul>	<ul style="list-style-type: none"> <li>• Federal interagency effort focuses on plan recovery, and support and assistance to victims and affected populations.</li> <li>• ESF #15 resource coordination continues.</li> <li>• Preparedness measures and readiness to manage follow-on incidents.</li> <li>• ESF #15 spokespersons continue to provide briefings with Federal, State, tribal, and local team to support recovery plan.</li> <li>• JIC continues to document and release information on plan execution, recovery efforts, and disaster recovery assistance.</li> <li>• Responders identified for recognition.</li> </ul>

### Coordinating Agency:

Department of Homeland Security

### Cooperating Agencies:

Department of Agriculture  
Department of Health and Human Services  
Department of the Interior  
All others

## INTRODUCTION

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### Purpose

This annex describes the policies, responsibilities, and concept of operations for effective coordination and interaction of Federal incident management activities with those of tribal governments and communities during incidents requiring a coordinated Federal response. The processes and functions described in this annex help facilitate the delivery of incident management programs, resources, and support to tribal governments and individuals.

### Scope

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This annex applies to all Federal departments and agencies working under the *National Response Framework* in response to incidents requiring Federal coordination, including tribes recognized by the Federal Government.

Because tribal governments are fully integrated into the *National Response Framework*, this annex addresses only those factors in the relationship between Federal departments and agencies and the federally recognized tribes.

The guidance provided in this annex does not contravene existing laws governing Federal relationships with federally recognized tribes.

### Policies

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The Department of Homeland Security (DHS), in cooperation with other Federal departments and agencies, coordinates tribal relations functions for incidents requiring Federal coordination.

The United States recognizes Indian tribes as domestic dependent nations under its protection, recognizes the right of Indian tribes to self-government, and supports tribal sovereignty and self-determination.

Federal agencies shall respect Indian tribal self-government and sovereignty, honor tribal treaty and other rights, and strive to meet the responsibilities that arise from the unique legal relationship between the Federal Government and Indian tribal governments.

State Governors must request a Presidential disaster declaration on behalf of a tribe under the Stafford Act. However, Federal departments and agencies can work directly with tribes within existing agency authorities and resources in the absence of such a declaration.

Federal departments and agencies comply with existing laws and Executive orders mandating that the Federal Government deal with Indian tribes on a government-to-government basis, reflecting the federally recognized tribes' right of self-government as sovereign domestic dependent nations. A tribe may, however, opt to deal directly with State and local officials.

## **Tribal Relations Support Annex**

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Federal departments and agencies involved in potential or actual incidents requiring a coordinated Federal response shall consult and collaborate with tribal governments on matters affecting the tribes and must be aware of the social, political, and cultural aspects of an incident area that might affect incident management operations.

Federal departments and agencies provide appropriate incident management officials with access to current databases containing information on tribal resources, demographics, and geospatial information.

Federal departments and agencies recognize the unique political and geographical issues of tribes whose aboriginal and contemporary territory is on or near the current international borders of Canada and Mexico.

Federal departments and agencies shall include tribes in all aspects of incidents requiring a coordinated Federal response that affect tribes and incident management operations.

## **CONCEPT OF OPERATIONS**

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### **General**

Federal departments and agencies conduct incident management operations involving federally recognized tribal governments in accordance with the *National Response Framework* and the *National Incident Management System*. Tribal relations functions, resources, and liaison operations are coordinated through Emergency Support Function (ESF) #15 – External Affairs.

## **ORGANIZATION**

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A Tribal Relations Element is established in the Joint Field Office (JFO) to provide the operational capability for collecting and sharing relevant incident information, alerting and deploying required tribal relations staff to or near the affected area, and ensuring compliance with Federal laws relating to tribal relations.

For incidents that directly impact tribal jurisdictions, a tribal representative shall be included in the Unified Coordination Group, as required.

## **ACTIONS**

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Through ESF #15, DHS, in consultation with cooperating agencies, coordinates requirements for the Tribal Relations Element at the JFO, when established.

A tribe may appoint a member of the tribe to serve as a tribal liaison in the JFO. As authorized by tribal government, the tribal liaison:

- Is responsible for coordinating tribal resources needed to prevent, protect against, respond to, and recover from incidents of all types. This also includes preparedness and mitigation activities.
- May have powers to amend or suspend certain tribal laws or ordinances associated with response.
- Communicates with the tribal community and helps people, businesses, and organizations cope with the consequences of any type of incident.

## **Tribal Relations Support Annex**

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- Negotiates mutual aid and assistance agreements with other tribes or jurisdictions.
- Can request Federal assistance under the Stafford Act through the Governor of the State when it becomes clear that the tribe's capabilities will be insufficient or have been exceeded.
- Can elect to deal directly with the Federal Government. Although a State Governor must request a Presidential disaster declaration on behalf of a tribe under the Stafford Act, Federal departments or agencies can work directly with the tribe within existing authorities and resources.

## **RESPONSIBILITIES**

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### **Coordinating Agency: DHS**

- Has primary responsibility for implementing consistent tribal relations policies and procedures during potential or actual incidents requiring a coordinated Federal response.
- Is responsible for coordinating data sharing by other agencies and departments that have responsibilities for collecting and maintaining data relevant to incident management for incidents that involve tribes.
- Is responsible for coordinating and designating staff for the Tribal Relations Element at the JFO. The Tribal Relations Element may include representatives from other departments and agencies, as appropriate and as jurisdictions dictate.

**COOPERATING AGENCIES**

Agency	Functions
<p><b>Department of Agriculture</b></p>	<ul style="list-style-type: none"> <li>• Directly supports tribal nations by providing education, training, and support to enable the response to emergency incidents.</li> <li>• Provides expertise and support concerning food safety and security, plant and animal health, and other homeland security issues including border security.</li> <li>• Provides technical assistance and subject-matter expertise for pet evacuation and sheltering activities.</li> </ul>
<p><b>Department of Health and Human Services (HHS)</b></p>	<p><b>Indian Health Service</b></p> <p>In consultation with tribal officials, provides comprehensive public health services and acute (emergency) care directly, through contract health services (nontribal contractor), or through self-determination healthcare contracts or compacts with American Indian and Alaska Native organizations. These comprehensive health services include all aspects of environmental health, as well as mental health and social services.</p>
	<p><b>HHS/Centers for Disease Control and Prevention</b></p> <ul style="list-style-type: none"> <li>• In consultation with tribal officials, directly participates in the emergency response and provides expertise and epidemiological support in an incident involving a biological agent.</li> <li>• Working with tribal health officials and the Indian Health Service, assesses health impacts and needs in support of tribal efforts.</li> </ul>
	<p><b>HHS/Food and Drug Administration</b></p> <p>In consultation with tribal officials, directly participates in any emergency response to terrorism that contaminates food or pharmaceutical industry products affecting tribal lands.</p>
<p><b>Department of the Interior (DOI)</b></p>	<p><b>DOI/Bureau of Indian Affairs</b></p> <ul style="list-style-type: none"> <li>• In consultation with tribal officials, provides—either by itself, by contract with a tribe, or both—a broad variety of services in an emergency including basic law enforcement protection, fire protection, emergency social services assistance to affected individuals and households, and support for all Federal agencies responding to the incident.</li> <li>• Assesses impacts on trust lands, resources, and infrastructure and supports tribal efforts commensurate with trust responsibilities.</li> <li>• In support of ESF #15, provides liaison officers to ensure coordination with tribal governments on all aspects of incident management operations, and works closely with DHS to ensure tribal relations actions are carried out in accordance with established Federal Government policies and procedures.</li> <li>• In conjunction with the incident-affected tribes, assists in providing an efficient and reliable flow of incident-related information between the tribes and the Federal Government.</li> <li>• Supports DHS for the Tribal Relations Element of the JFO by supplying staff and resources as requested.</li> </ul>



## Volunteer and Donations Management Support Annex

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### Coordinating Agency:

Department of Homeland Security/Federal  
Emergency Management Agency

### Cooperating Agencies:

Department of Agriculture  
Department of Health and Human Services  
Department of Homeland Security  
Department of State  
Department of Transportation  
Corporation for National and Community  
Service  
General Services Administration  
U.S. Agency for International Development  
USA Freedom Corps  
National Voluntary Organizations Active in  
Disaster

## INTRODUCTION

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### Purpose

The Volunteer and Donations Management Support Annex describes the coordination processes used to support the State in ensuring the most efficient and effective use of unaffiliated volunteers, unaffiliated organizations, and unsolicited donated goods to support all Emergency Support Functions (ESFs) for incidents requiring a Federal response, including offers of unaffiliated volunteer services and unsolicited donations to the Federal Government.

### Scope

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This annex provides guidance on the Federal role in supporting State governments in the management of masses of unaffiliated volunteers and unsolicited donated goods. (Any reference to volunteer services and donated goods in this annex refers to unaffiliated volunteer services<sup>1</sup> and unsolicited goods, unless otherwise stated.) This guidance applies to all agencies and organizations with direct and indirect volunteer and/or donations responsibilities under the *National Response Framework*.

### Policies

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The goal of volunteer and donations management is to efficiently and effectively support the affected jurisdictions in close collaboration with the voluntary organizations/agencies, in an effort to manage the overall influx of offers of goods and services to the Federal Government, States, tribes, local governments, voluntary agencies, and other entities before, during, and after an incident.

The Federal Government encourages State, tribal, and local governments to coordinate with voluntary agencies, community and faith-based organizations, volunteer centers, and private-sector entities through local Citizen Corps Councils and local Voluntary Organizations Active in Disaster (VOADs) to participate in preparedness activities including planning, establishing appropriate roles and responsibilities, training, and exercising.

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<sup>1</sup> Unaffiliated volunteers, also known as spontaneous volunteers, are individuals who offer to help or self-deploy to assist in emergency situations without fully coordinating their activities. They are considered "unaffiliated" in that they are not part of a disaster relief organization. Although unaffiliated volunteers can be significant resources, because they do not have preestablished relationships with emergency response organizations, verifying their training or credentials and matching them with the appropriate service areas can be difficult.

Private nonprofit and private-sector organizations that can provide a specific disaster-related service to Federal, State, local, and tribal governments are encouraged to establish preincident operational agreements with emergency management agencies. At the Federal level, FEMA will provide preincident support to broker a match with the most appropriate ESF or response element for organizations with disaster services that are not currently affiliated with a specific ESF.

State, tribal, and local governments have primary responsibility, in coordination with VOADs, to develop and implement plans to manage volunteer services and donated goods.

Full use of existing volunteer and donations management resources at the local level is encouraged before seeking assistance of the State or Federal governments.

The Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) coordinates with other Federal agencies, in support of the State, to identify operational requirements for an effective State Volunteer and Donations Management operation.

The Corporation for National and Community Service (CNCS) coordinates with other Federal agencies and voluntary organizations in support of State, tribal, and local government efforts in the coordination and management of unaffiliated volunteers.

The Federal Government will have a system to manage and coordinate offers of unaffiliated volunteer services and unsolicited donated goods from the private sector that are made to the Federal Government, so that any appropriate offer can be effectively integrated into the overall process.

State and local governments are encouraged to establish a structure responsible for receiving, tasking, and employing the full range of goods and services that may be donated during an emergency.

The Federal Government encourages individuals interested in volunteering personal services to directly affiliate with a voluntary organization/agency of their choice or a local volunteer center, and/or to participate through their local Citizen Corps program.

The Federal Government encourages donations from the general public to be made as cash to voluntary, faith-based, and/or community organizations providing services to disaster victims.

Policies and procedures regarding International Donations coordination of government-to-government assistance and assistance from international organizations such as the North Atlantic Treaty Organization (NATO) and the United Nations (U.N.) are addressed in the International Assistance System (IAS) as described in the International Coordination Support Annex, which is managed jointly by the Department of State (DOS), the U.S. Agency for International Development (USAID), and DHS/FEMA.

Donations of blood products are referenced in the ESF #8 – Public Health and Medical Services Annex.

Other Federal agencies may have independent authority to accept gifts and/or services of volunteers that may be exercised independently by those agencies.

The Federal Government will include State and tribal governments, nongovernmental organizations, private-sector representatives, and others as appropriate in training and exercises.

All activities, functions, and services are provided in accordance with existing Federal statutes, rules, and regulations.

### **Preincident Activities**

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DHS/FEMA recommends that States and local jurisdictions develop and strengthen a Volunteer and Donations Management ESF/Support Annex in their State and local emergency plans. These plans should detail volunteer and donations management-related outreach and education programs, procedures to activate mutual aid such as the Emergency Management Assistance Compact, communications and facilities management, a Volunteer/Donations Coordination Team, a call center, relevant points of contact, safety and security, and demobilization.

## **CONCEPT OF OPERATIONS**

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The Federal Government supports State and tribal government efforts to manage unaffiliated volunteers and unsolicited donated goods. Requests for support under this annex from Federal, State, tribal, and local authorities generally are coordinated through the Regional Response Coordination Center (RRCC) or the Joint Field Office (JFO). Depending on the situation, however, coordination may occur at the National Response Coordination Center (NRCC). DHS/FEMA provides Volunteer and Donations Management staff to the NRCC, RRCC, and JFO in support of the State, as required.

Federal support of volunteer and donations management operations may include:

- Activation of a Volunteer/Donations Coordination Team at DHS/FEMA Headquarters to expedite service provided to donors from large private-sector entities, large civic organizations, and others, and to address large national media-driven collection drives and other complex situations involving donated goods and volunteer services.
- At the request of the State or tribal government, a national donations and volunteer management Web-based application that enables the general public to register their offers of donated goods and services, thus providing the State/tribal Volunteer/Donations Coordination Team a real-time view of offers and the ability to match offers to needs.
- Coordination with appropriate DHS/FEMA Divisions/Offices, the CNCS, National VOAD leadership, the Points of Light & Hands On Network leadership and their Volunteer Centers, State VOAD leadership, and other stakeholders as necessary.
- Facilities management such as multiagency warehouse and volunteer reception center capabilities.
- Communications support such as coordination of a national hotline and/or call center.

The CNCS supports utilization of volunteers who are not part of the preexisting Federal, State, tribal, and/or local emergency management structure.

National VOAD supports the management of unsolicited donations including efforts to maximize the utility of unsolicited donations, public information campaigns, and disposition of unneeded goods.

**RESPONSIBILITIES**

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**Headquarters-Level Responsibilities: DHS/FEMA and Cooperating Agencies**

**Preincident Activities**

In coordination with DHS/FEMA regions, the CNCS, National VOAD, Points of Light & Hands On Network and their Volunteer Centers, and private-sector representatives:

- Establish a steering committee to be chaired by FEMA and National VOAD that will manage further development and revision of this annex and other supporting documentation.
- Develop and expand the national network of the following organizations that serve at the State, tribal, and local levels:
  - Citizen Corps Councils
  - CNCS
  - VOADs
  - Points of Light & Hands On Network and their Volunteer Centers
- Support and promote availability and operation of a Web site to facilitate collection and tracking of offers of goods and services to enable effective matching of offers with needs.
- Develop, maintain, and implement a comprehensive volunteer and donations management training program.
- Encourage resource typing and credentialing in support of effective volunteer and donations management in the field. Examples include typing of Volunteer/Donations Coordination Teams and volunteer and donations facilities.
- Support DHS/FEMA regional staff and cooperating agencies in providing technical assistance to the States.
- Convene regular interagency meetings with cooperating agencies and other stakeholders to enhance collaboration and information sharing.
- Establish and maintain contingency plans for an enhanced level of Federal support to affected States in a catastrophic and/or multistate incident.
- Support the activation of the IAS, as needed, to coordinate requests for international assistance and formal offers of assistance from foreign governments and international organizations such as NATO and the U.N. (See the International Coordination Support Annex.)

**Response Activities**

The affected State, tribal, and local governments, in conjunction with their voluntary organization partners, are responsible for implementing the appropriate plans to ensure the effective management of the flow of volunteers and goods in the affected area. DHS/FEMA provides support through the RRCC or JFO as necessary.

## **Volunteer and Donations Management Support Annex**

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In conjunction with the RRCC and/or JFO, DHS/FEMA provides communications support as needed including:

- Rapid communications with key voluntary agency, State, and private-sector coordinators.
- Media relations support.
- Support in the activation of the Web-based volunteer and donations matching software.
- In catastrophic circumstances, the possible activation of a national call center.

The NRCC activates its Volunteer/Donations Desk and/or DHS/FEMA activates a Volunteer/Donations Coordination Team to:

- Address high-level corporate offers, complex media- and/or congressionally driven offers, nationally organized collection drives, and international coordination, as needed.
- Provide technical assistance to other agencies that receive offers of goods and services from the private sector and assist with the processing of those offers.
- Designate a headquarters-level point of contact to coordinate with regional and field offices to determine significant needs for donations or unique goods and services that large organizations may be able to donate. The point of contact provides a headquarters liaison with high-level organizations, arranging to satisfy identified needs.

### **Regional-Level Responsibilities: DHS/FEMA and Cooperating Agencies**

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- Coordinates with the State and/or tribal government on their specific needs and requests.
- Designates an RRCC point of contact.
- Designates a point of contact in regional and field offices to obtain information about significant needs for donations or unique goods and services that large organizations may be able to donate, and to provide such information to the headquarters-level point of contact.
- Assists the State Volunteer and Donations Coordinator, as needed, with:
  - Early on-the-ground situation assessment for critical operational requirements and appropriate follow-through (e.g., the need for the establishment of possible ad hoc staging areas for incoming unaffiliated volunteers, and assistance regarding unaffiliated volunteers who have organized large-scale donations distribution centers in the affected area).
  - Setting up a Volunteer/Donations Coordination Center to include a Volunteer/Donations Coordination Team and volunteer and donations hotline.
  - Ensuring the appropriate donations receiving and distribution facilities are established and operating effectively.
  - Coordinating with the Joint Information Center and ESF #15 – External Affairs on public service announcements, press releases, and other media-related support.
  - Coordinating with appropriate DHS/FEMA Divisions/Offices, the CNCS, National VOAD leadership, the Points of Light & Hands On Network and their Volunteer Centers, State VOAD leadership, other Federal agencies, and stakeholders as necessary.
  - Preparing input for situation reports, briefings, and VIP visits, as necessary.
  - Providing support to voluntary groups in documentation of activities.

**COOPERATING AGENCIES**

Agency	Functions
<b>Department of Agriculture</b>	Inspects and ensures the wholesomeness and safety of donated foreign animal, plant, and food products.
<b>Department of Health and Human Services</b>	<b>Food and Drug Administration:</b> Inspects and ensures the wholesomeness and safety of donated foreign animal, plant, and food products.
<b>Department of Homeland Security</b>	<b>Private Sector Office:</b> Provides support to DHS/FEMA Headquarters Volunteer/Donations Coordination Team efforts in processing private-sector and other high-level offers.
<b>Department of State</b>	In coordination with DHS/FEMA and USAID, operates the IAS to coordinate requests for government-to-government international assistance and manage formal offers of assistance from foreign governments and international organizations. (See the International Coordination Support Annex.)
<b>Department of Transportation</b>	<ul style="list-style-type: none"> <li>• Provides information on transportation routes as necessary.</li> <li>• Provides guidance and support on transportation rules, regulations, and requirements as needed.</li> </ul>
<b>Corporation for National and Community Service</b>	<p>Provides support to the States, including trained national service participants (AmeriCorps members, Learn and Serve America volunteers, and Retired and Senior Volunteer Program volunteers) to support State volunteer and donations management operations, as needed, such as:</p> <ul style="list-style-type: none"> <li>• Call center/hotline operations.</li> <li>• Volunteer Reception Center startup.</li> <li>• Donations warehousing operations.</li> <li>• Other support activities identified by the FEMA Volunteer and Donations Coordinator or FEMA Voluntary Agency Liaison.</li> </ul>
<b>General Services Administration</b>	Provides equipment, supplies, and facilities as required.
<b>U.S. Agency for International Development</b>	In coordination with DHS/FEMA and DOS, operates the IAS to coordinate requests for government-to-government international assistance and manage formal offers of assistance from foreign governments and international organizations. (See the International Coordination Support Annex.)
<b>National Voluntary Organizations Active in Disaster (National VOAD)</b>	<p>National VOAD members are the primary coordinating nonprofit organizations for the management of unaffiliated volunteers and unsolicited donations. National VOAD:</p> <ul style="list-style-type: none"> <li>• Provides technical assistance, as needed, to National VOAD member organizations and State and local VOADs regarding their unaffiliated volunteer and unsolicited donations management activities.</li> <li>• Supports, as necessary, National VOAD members that have roles in volunteer and donations management to ensure the members' full participation in volunteer and donations management operations. Volunteer and donations operations functions may include: multiagency warehouse management, local distribution centers, volunteer reception centers, call center support, operational guidance on managing unsolicited donations and unaffiliated volunteers, situational assessment, and coordination of matching offers to needs.</li> </ul>
<b>USA Freedom Corps</b>	<ul style="list-style-type: none"> <li>• Shares volunteer and donation information via <a href="http://www.volunteer.gov">www.volunteer.gov</a> and 1-877-USA-CORP.</li> <li>• Connects individuals with volunteer opportunities.</li> </ul>

### Coordinating Agency:

Department of Labor/Occupational Safety  
and Health Administration

### Cooperating Agencies:

Department of Defense  
Department of Energy  
Department of Health and Human Services  
Department of Homeland Security  
Environmental Protection Agency

## INTRODUCTION

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### Purpose

The Worker Safety and Health Support Annex provides Federal support to Federal, State, tribal, and local response and recovery organizations in assuring response and recovery worker safety and health during incidents requiring a coordinated Federal response.

### Scope

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This annex provides supplemental assistance to Federal departments and agencies, and State, tribal, and local governments, to support and facilitate the protection of response and recovery worker safety and health during an incident requiring a coordinated Federal response. This annex describes the technical assistance resources, capabilities, and other support to ensure that response and recovery worker safety and health risks are anticipated, recognized, evaluated, communicated, and consistently controlled. This annex addresses the coordination and provision of technical assistance for worker safety and health management activities; it does not address public health and safety.

- This annex describes coordination mechanisms, policies, and processes to provide technical assistance for response and recovery worker safety and health management activities that include anticipation, identification, and mitigation of response and recovery risks and hazards. These mechanisms also include the assessment and analyses of health risks from occupational exposures, to facilitate incident risk management for response and recovery workers.
- This annex is structured to provide technical assistance and support for response and recovery worker safety and health in the changing requirements of domestic incident management to include preparedness, prevention, response, and recovery actions. Activities within the scope of this function include development of health and safety plans; identifying, assessing, and controlling health and safety hazards; conducting response and recovery exposure monitoring; collecting and managing data; providing technical assistance and support for personal protective equipment programs, incident-specific response and recovery worker training, and medical surveillance; providing exposure and risk management information; and providing technical assistance to include industrial hygiene expertise, occupational safety and health expertise, engineering expertise, and occupational medicine expertise.

### Policies

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- This annex does not replace the responsibilities of private-sector and Federal, State, tribal, and local government employers; rather, it ensures that assistance is available to meet those responsibilities in incidents requiring a coordinated Federal response.
- The Assistant Secretary for Occupational Safety and Health within the Department of Labor (DOL) coordinates this annex's national preparedness, response, and recovery actions.

## **Worker Safety and Health Support Annex**

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- This annex may be implemented for incidents requiring a more robust coordinated Federal response. This annex provides Federal support when an incident overwhelms State, tribal, and local government capabilities and/or when other departments or agencies within the Federal Government require assistance.
- This annex includes planning and preparation to ensure the health and safety of response and recovery workers. Further, this annex provides a consistent approach to response and recovery worker protection in preparation for, and during, an incident requiring a coordinated Federal response.
- When implemented, this annex will prioritize safety and health actions in cooperation with Federal departments and agencies, and with State, tribal, and/or local governments and in coordination with the Federal Coordinating Officer (FCO).
- Several Federal and State agencies, including DOL/Occupational Safety and Health Administration (OSHA) and the Environmental Protection Agency (EPA), have oversight authority for response and recovery workers and response operations. While these agencies retain their authorities, they are expected to work cooperatively and proactively with Federal, State, local, and private-sector response and recovery workers to ensure the adequate protection of all response and recovery workers.

## **CONCEPT OF OPERATIONS**

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### **General**

This annex coordinates Federal occupational safety and health assets to be provided to Federal, State, tribal, and local response and recovery workers to support the overall response and recovery operations. In conjunction with the affected States, Federal agencies, and tribal and local governments, this annex coordinates the provision of support for overall risk management to ensure actions are taken to protect the health and safety of emergency response and recovery workers.

The annex coordinating agency resolves technical or other disputes involving worker safety and health. In the case of a dispute that cannot be resolved by this support annex, DOL/OSHA will summarize the disputed areas for presentation to the FCO and/or the Assistant Secretary for DOL/OSHA for resolution.

## **ORGANIZATION**

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### **Headquarters Level**

At the Federal Headquarters level, this annex operates under the direction and leadership of the Assistant Secretary for Occupational Safety and Health.

This annex's coordinating agency provides staff to support the National Response Coordination Center (NRCC) and the Incident Management Planning Team (IMPT).

### **Regional and Field Level**

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#### **DOL/OSHA**

The OSHA Regional Administrator is the regional leader for this annex.



## **Worker Safety and Health Support Annex**

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The OSHA Regional Administrator provides staff to coordinate the provision of support activities for this annex at the Regional Response Coordination Center (RRCC) and the Joint Field Office (JFO).

Within the JFO, the Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) Disaster Safety Officer (DSO) ensures that the FCO receives accurate and timely safety and health information and technical assistance to ensure the safety of the DHS/FEMA staff and personnel in the JFO and other FEMA-managed facilities.

The coordinator for this annex ensures the FCO, the Unified Coordination Group, and the Chief of Staff have consistent, accurate, and timely worker safety and health information for theatre-wide operations, and coordinates the delivery of Federal worker safety and health technical assistance and resources to Federal, State, tribal, and local responders. The coordinator for this annex convenes and chairs the JFO's Interagency Safety and Health Committee. This committee is made up of representatives from the various agencies (including Federal, State, tribal, and local response organizations) within the JFO and coordinates the worker safety and health program among the various agencies.

When activated, both the FEMA DSO and the coordinator for this annex make up the safety function on the JFO Coordination Staff. Further, when implemented, this annex will be represented within the Operations and Planning Sections of the JFO. Additionally, staff of this annex may serve as technical specialists in other JFO elements as required.

DOL/OSHA Area Offices throughout the country will provide situational awareness necessary for the mitigation of response and recovery worker risk reduction prior to and following an incident.

When implemented, this annex will coordinate with Federal, State, tribal, local, and if necessary, private-sector officials to determine potential needs for worker safety and health support. Staff from this annex will participate on emergency response teams as requested.

## **PRE-INCIDENT COORDINATION**

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### **Worker Safety and Health Coordination Committee**

The Worker Safety and Health Coordination Committee provides the identification and integration of response and recovery worker safety and health assets needed for emergency planning and preparedness.

The Worker Safety and Health Coordination Committee is comprised of representatives of DOL/OSHA and the cooperating agencies. DOL/OSHA coordinates this group through regular meetings and interagency exercises. It serves as the forum to ensure that the representatives of the occupational safety and health programs from the cooperating agencies understand how worker safety and health will be coordinated during activations, as well as the availability of resources provided by this support annex.

The coordinating agency for this annex will be a member of the Emergency Support Function (ESF) Leaders Group and will report on response and recovery worker safety and health issues.

## **INITIAL ACTIONS**

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### **DOL/OSHA Headquarters**

Upon notification of a potential or actual incident:

## **Worker Safety and Health Support Annex**

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- The OSHA Assistant Secretary or authorized representative, within 2 hours of notification, alerts the headquarters and regional points of contact for this annex as required, ensuring that all internal DOL/OSHA parties are fully informed of developments;
- DOL/OSHA alerts cooperating agencies, as required;
- The OSHA Assistant Secretary or authorized representative provides support to Federal agencies engaged in the response as requirements are identified; and
- The OSHA Assistant Secretary or authorized representative ensures that representatives of this annex staff the NRCC as required.

### **DOL/OSHA Region**

- The OSHA Regional Administrator (RA) or authorized representative assumes control of operations for this annex in the affected regions.
- The RA deploys a representative to the RRCC.

## **INCIDENT-RELATED ACTIONS**

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The coordinating agency for this annex convenes appropriate agency representatives as soon as possible, and within 2 hours of notification if possible, to develop a plan for providing the support required. The particular support provided will be dependent upon the scope, complexity, and specific hazards associated with the incident and the needs of the response and recovery organizations. Specific requests for assistance will be coordinated with DHS/FEMA and defined in mission assignments. The following describes general functional support that can be provided under this annex:

### **Incident Actions**

Activities within this annex include but are not limited to those listed below.

#### **Worker Safety and Health Needs Assessment**

- Providing occupational safety and health technical advice and support to the JFO Command Staff, the Interagency Safety and Health Committee, and, if appropriate, at incident sites. When implemented, this annex will coordinate with Federal, State, tribal, and local officials to determine potential needs for worker safety and health support. DOL/OSHA will participate on the emergency response teams, as requested.
- Identifying and assessing health and safety hazards and analysis of the incident environment, including response and recovery worker safety monitoring, as necessary.
- Assessing response and recovery worker safety and health resource needs and identifying sources for those assets.
- Providing technical assistance to include industrial hygiene expertise, occupational safety and health expertise, engineering expertise, and occupational medicine.

#### **Health and Safety Plans**

- Managing the development and implementation of a site-specific health and safety plan (HASP) and ensuring that plans are coordinated and consistent among multiple sites, as appropriate. The HASP outlines the basic safety and health requirements for workers

involved in response and recovery operations. Elements of the HASP are typically integrated into the Incident Action Plans and other plans used by the response and recovery organizations.

### **Safety and Health Assessment**

- Managing, monitoring, and providing support and assistance in the monitoring of response and recovery worker safety and health hazards. The scope of actions include providing onsite identification, analysis, and mitigation of safety hazards; identification and analysis of the response and recovery worker health hazards by personal exposure monitoring, as needed, including task-specific exposure monitoring for chemical and biological contaminants and physical stressors (e.g., noise, heat, cold, ionizing radiation); and the evaluation of risks from prevalent and emergent hazards.

### **Personal Protective Equipment**

- Managing, monitoring, and/or providing technical advice and support in developing, implementing, and/or monitoring an incident personal protective equipment (PPE) program, including the selection, use, and decontamination of PPE.
- In coordination with ESF #7 – Logistics Management and Resource Support and FEMA Logistics, providing technical assistance and support for response and recovery worker access to required PPE and the supplemental distribution of such PPE on an ad-hoc basis.
- Providing assistance in the implementation of a respiratory protection fit-test program when required.

### **Data Management**

- Providing technical assistance and support in coordinating the collection and management of data such as response and recovery worker exposure data, or OSHA 300 (or equivalent) accident/injury documentation data to identify trends and facilitate data-sharing among response organizations.

### **Training and Communication**

- Coordinating and providing incident-specific response and recovery worker training.
- Communicating worker safety and health information to response and recovery workers, labor unions, employers, contractors, and other organizations, especially those providing skilled support.
- Providing technical assistance and support in the development and distribution of materials for the prevention, awareness, and abatement of safety and health hazards.

### **Response and Recovery Worker Health and Medical Surveillance**

- In coordination with ESF #8 – Public Health and Medical Service, providing technical assistance, advice, and support for medical surveillance and monitoring as required by regulation (e.g., asbestos and lead) and evaluating the need for longer term epidemiological followup and medical monitoring of response and recovery workers.
- Providing technical assistance and advice on identifying appropriate immunizations and prophylaxis for response and recovery workers.

## Worker Safety and Health Support Annex

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- Providing technical assistance and support for maintenance of psychological resiliency of response and recovery workers.

### POST INCIDENT

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This annex will facilitate a critique of operations to compile “lessons learned” related to response and recovery worker safety and health issues.

### RESPONSIBILITIES

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#### Coordinating Agency: DOL/OSHA

- Provides coordination of technical support for response and recovery worker safety and health.
- Leads the resolution of technical, procedural, and risk assessment conflicts, if necessary through formal recourse to the JFO Coordination Group.
- Is responsible for carrying out the policies identified in this annex.
- Is responsible for the actions of its subtasked agencies involved in meeting the needs of an incident.
- Chairs the Worker Safety and Health Coordination Committee and the JFO Interagency Safety and Health Committee.
- Captures and manages incident exposure and injury/illness data for effective use of resources during and after the incident.
- Subtasks cooperating agencies as deemed necessary to most effectively support the needs of the incident and the objectives of mission assignments.

### COOPERATING AGENCIES

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Agency	Functions
<b>Department of Defense (DOD)/ U.S. Army Corps of Engineers (USACE)</b>	<ul style="list-style-type: none"><li>• When DOD/USACE is mission assigned to provide ice, water, emergency power, debris removal, temporary housing, temporary roofing, or structural safety assessment, it deploys Safety and Occupational Health (SOH) professionals to the incident location to provide technical assistance to USACE assets.</li><li>• USACE SOH professionals coordinate with DOL/OSHA and other ESF cooperating agencies to ensure the implementation of coordinated, effective worker safety and health activities in support of the Incident Command System as established in the <i>National Incident Management System</i>.</li><li>• DOD/USACE provides emergency location SOH support through utilization of its worldwide SOH Functional Planning and Response Teams.</li></ul>

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Agency	Functions
<p><b>Department of Energy (DOE)</b></p>	<p>Functions pertaining to DOE are identified in ESF #12 – Energy, in ESF #10 – Oil and Hazardous Materials Response, and in other applicable <i>National Response Framework</i> ESFs. DOE maintains the Federal Radiological Monitoring and Assessment Center (FRMAC), the Radiological Assistance Program (RAP), Aerial Measurement Systems (AMS), the Atmospheric Release Advisory Capability (ARAC), and the Radiation Emergency Assistance Center/Training Site (REAC/TS). Each of these DOE elements consists of deployable responder assets to a radiological incident upon request of a local, State, or other Federal agency. These assets may be individually deployed, or under the FRMAC, in conjunction with EPA, or DOE response teams.</p>
<p><b>Department of Health and Human Services (HHS)</b></p>	<p><b>National Institute for Occupational Safety and Health (NIOSH)</b></p> <ul style="list-style-type: none"> <li>• HHS/NIOSH provides technical support and expertise in the characterization of complex, unknown, and multiple-contaminant worker exposures.</li> <li>• HHS/NIOSH and DOL/OSHA collaborate in all areas and ensure that their collective safety and industrial hygiene assets are aligned to produce consistent, vetted advice to the incident command structure.</li> </ul> <p><b>Agency for Toxic Substances and Disease Registry (ATSDR):</b> Under the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), section 104(i) (42 U.S.C. 9604(i)), HHS/ATSDR is required to cooperate with HHS/NIOSH and DOL/OSHA to provide information and technical support on: the toxic effects of chemicals based on peer-reviewed studies; emergency medical management information specific to potential exposures; worker protective measures, including selection of appropriate respiratory protection and chemical protective clothing; action levels to upgrade the protective ensemble; and appropriate means of monitoring hazards during response actions as defined in CERCLA.</p> <p><b>National Institute of Environmental Health Sciences:</b> The Superfund Amendments and Reauthorization Act of 1986 (Title 42 U.S.C. section 9660a) established, under section 126(g), the Worker Education and Training Program (WETP) as an assistance program for the training and education of workers engaged in activities related to hazardous waste removal, containment, and emergency response. The program is managed by HHS/NIEHS and provides:</p> <ul style="list-style-type: none"> <li>• Training technical assistance such as instructional staff, curriculum-development experts, subject-matter experts, and professional staff.</li> <li>• Safety training to worker target populations with respect to the nature and location of the incident and the particular hazards.</li> <li>• Assistance and support in the development and delivery of site-specific health and safety training through appropriately qualified WETP awardee instructional staff.</li> <li>• Assistance such as respirator fit-testing and distribution of PPE.</li> </ul>
<p><b>Department of Homeland Security</b></p>	<p><b>U.S. Coast Guard (USCG):</b> Functions performed by DHS/USCG are identified in ESF #10 and other applicable ESFs.</p> <p><b>DHS/FEMA Office of Occupational Safety and Health:</b> FEMA Safety's oversight extends to the DHS/FEMA employees (including direct contractors, administrative support, etc.), and any employee working at DHS/FEMA-managed facilities (e.g. JFO or a Disaster Recovery Center). The specific roles and responsibilities of FEMA's Office of Occupational Safety and Health are specified in the interagency agreement with DOL/OSHA that establishes standard operating procedures for the activation of DOL/OSHA and the implementation of this annex.</p>

## Worker Safety and Health Support Annex

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Agency	Functions
<b>Environmental Protection Agency (EPA)</b>	EPA provides health and safety technical advice for the Hazardous Waste Operations and Emergency Response (HAZWOPER) standard for State and local employees engaged in hazardous waste operations (as defined in 20 CFR 1910.120(a)) in States that do not have a State Plan approved under section 18 of the Occupational Safety and Health Act of 1970. EPA can also provide health and safety expertise for oil and hazardous materials response under the National Oil and Hazardous Materials Pollution Contingency Plan (NCP, 40 CFR Part 300) and/or ESF #10. This expertise is provided in the following areas: hazard analysis and assessment of worker exposure, hazard evaluations, development of incident-specific HASPs, and data management.
<b>Other Responding Organizations</b>	Other Federal, State, tribal, and local government agencies, as well as private-sector organizations with response and recovery workers at the incident location, provide technical support and expertise in accordance with their agency's mission and responsibilities, in coordination with DOL/OSHA and cooperating agencies.  Organizations lacking safety and occupational health technical expertise are expected to provide liaisons to the JFO Coordination Group safety staff, attend appropriate safety briefings, identify issues regarding potential hazards, and communicate those issues to their response and recovery worker personnel and to the JFO Safety Coordinator/Incident Command Post Safety Officer.