

# NATIONAL RESPONSE PLAN

INITIAL PLAN

DRAFT

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# NATIONAL RESPONSE PLAN

## INITIAL PLAN

### *I. Introduction*

#### **A. Mandate for Change**

The perception of the inherent dangers and complex threats facing this country and the potential consequences they could have on the American way of life has changed significantly since September 11, 2001. These threats cross a broad spectrum of contingencies from acts of terrorism to natural disasters to other man-made hazards (accidental or intentional). Because all carry the potential for severe consequences, these threats must be addressed with a unified national effort. A new paradigm for incident management is required.

Incident management cannot be event driven. The new paradigm must be approached through increased awareness, preventive measures, and robust preparedness. Preventing an incident from ever occurring reaps far more dividends than simply reducing the costs of post-incident response and recovery. Consequently, in this new Plan, awareness, prevention, and preparedness efforts will be given similar emphasis to that traditionally afforded to the response and recovery domains. To make the response and recovery aspects of our nation's readiness system as efficient and effective as possible, a cooperative national effort is essential, one with a unified approach to incident management and with the ultimate goal of a significant reduction in our nation's vulnerability over time. Successful implementation of this new paradigm is critically dependent on information-sharing, consistent and timely communication between all institutions that are party to the National Response Plan, and a common planning framework that captures valuable best practices across the spectrum of contingencies.

While the primary responsibility for initial incident response remains at the local level, using locally available assets, special capabilities for prevention or response may also require Federal and private-sector resources in the case of the most dangerous and complex threats. The fundamental requirements of this new Plan are to develop consistent approaches to domestic preparedness as well as to incident management across the life cycle of an incident—from awareness, through prevention and preparedness, and into response and recovery—and to improve the effective use of resources that are available at each step of this life cycle. This consistency must reach to all levels of domestic incident management, from the highest echelons of the Federal government to the individual field-level responders.

The Department of Homeland Security (DHS) has been charged with the responsibility of unifying the nation's efforts to deal with domestic contingencies. To facilitate this

mandate, the President issued Homeland Security Presidential Directive 5 (HSPD-5) on February 28, 2003, calling for the creation of a National Response Plan (NRP) to “integrate Federal Government domestic prevention, preparedness, response, and recovery plans into one all-discipline, all-hazards plan” under the authority of the Secretary of Homeland Security. Under the NRP, a National Incident Management System (NIMS) will be developed to provide a consistent nationwide framework to standardize incident management practices and procedures to ensure that Federal, State, and local governments can work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity.

## **B. Purpose of the NRP**

The purpose of the NRP is to enhance the ability of the United States to prepare for and to manage domestic incidents by establishing a single, comprehensive national approach. To accomplish this goal, the NRP integrates all incident management activities across the continuum from pre-incident awareness, prevention, and preparedness to incident response and post-incident recovery. It establishes a single base plan to address all hazards and contingencies, covering all disciplines. The Plan also ensures coordination at all levels of government—local, State, and Federal—and cooperation with the private and public sectors in order to bring the full range of the nation’s capabilities to bear in protecting the homeland. Finally, this Plan ensures that the Federal government works effectively and efficiently with State and local agencies to prevent, prepare for, respond to, and recover from domestic incidents by establishing a common NIMS to be used at all levels.

## **C. Scope of the NRP**

This initial version of the NRP sets forth the conceptual structure, key tenets, roles and responsibilities, and main principles of the NRP and the NIMS. The final version of the NRP, in conjunction with the NIMS, will:

1. Integrate Federal Government domestic incident awareness, prevention, preparedness, response, and recovery plans into one all-discipline, all-hazards plan;
2. Describe the structure and mechanisms for providing national-level policy guidance and operational direction for Federal support to State and local incident management and for exercising direct Federal authorities and responsibilities, as appropriate;
3. Include protocols for operating under different threats or threat levels;
4. Incorporate existing Federal emergency and incident management plans (with appropriate modifications and revisions) either as integrated components of the NRP or as supporting operational plans;

5. Incorporate additional operational plans or annexes, as appropriate, including public affairs and intergovernmental communications;
6. Include a consistent approach to reporting incidents, providing assessments, and making recommendations to the President, the Secretary of Homeland Security, and the Homeland Security Council;
7. Include rigorous requirements for continuous improvements arising from tests, exercises, experience with incidents, and new information and technologies;
8. Serve as the foundation for further development of detailed agency, regional, State, and local operational plans and procedures;
9. Include guidelines for notification, coordination, and leadership and support of activities necessary for awareness, prevention, preparedness, response, and recovery related to domestic incidents, as well as for the dissemination of emergency public information;
10. Acknowledge the unique nature of each incident, the capabilities of local jurisdictions, and the actions necessary to prevent or to mitigate a specific threat or incident;
11. Recognize the responsibilities of Federal departments and agencies to carry out their responsibilities under the law; and
12. Illustrate ways in which Federal, State, and local governments, with the support of the private sector and the American public, can most effectively unify and synchronize their efforts to prevent or respond to domestic incidents.

#### **D. Applicability of the NRP**

The NRP applies to:

1. All domestic incidents, across the universe of incident management activities, including pre-incident awareness, prevention, preparedness, incident response, and post-incident recovery. For the purpose of this Plan, the term “domestic incident” means any of the following when occurring within the “United States”<sup>1</sup>:
  - a. An “emergency” or “major disaster”;<sup>2</sup>

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<sup>1</sup> As defined in section 2 (16) (A) of the Homeland Security Act of 2002, Pub. L. 107-296, 116 Stat. 2135, et seq. (2002) to include any territory, waters, airspace, or conveyance subject to the jurisdiction or operation of the United States.

<sup>2</sup> As defined in sections 102 (1) and (2) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5122).

- b. A threat or act of “terrorism”<sup>3</sup> that the Secretary, in consultation with the Attorney General, determines is of sufficient magnitude to warrant implementation of this Plan; or
  - c. Any other occasion or instance in which one or more of the following conditions or thresholds applies:
    - (1) A Federal department or agency acting under its own authority has requested the assistance of the Secretary;
    - (2) The resources of State and local authorities are overwhelmed and Federal assistance has been requested by the appropriate State and local authorities;
    - (3) More than one Federal department or agency has become substantially involved in responding to the incident; or
    - (4) The Secretary has been directed to assume responsibility for managing the incident by the President.
2. The following organizations:
- a. All Federal departments and agencies;
  - b. State and local authorities when requesting Federal assistance;
  - c. State and local authorities accepting Federal preparedness assistance through grants, contracts, or other activities beginning in Fiscal Year 2005; and
  - d. Private and nongovernmental entities partnering with the Federal Government in relation to domestic incident management activities.

## ***II. Planning Assumptions and Considerations***

### **A. Design Imperatives from HSPD-5**

The NRP reflects certain key tenets as set forth in HSPD-5, namely, that the NRP be:

#### **1. A single plan**

The NRP integrates existing Federal domestic awareness, prevention, preparedness, response, and recovery plans into one base plan, addressing functional areas common

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<sup>3</sup> As defined in section 2 (15) of the Homeland Security Act of 2002, Pub. L. 107-296, 116 Stat. 2135, et seq. (2002).

to most contingencies, with annexes to describe unique procedures required under special circumstances.

## **2. An “all hazards/all disciplines” plan**

Current emergency plans are designed to deal with only certain types of contingencies. In keeping with the requirements of HSPD-5, the NRP is a single plan that is flexible enough to accommodate “all hazards,” and covering all of the disciplines required for conducting activities throughout the “life cycle” of an incident. Under the NRP, “hazards” refers to the full range of possible contingencies, including:

- a. **Natural disasters**, such as floods, earthquakes, hurricanes, tornadoes, droughts, and epidemics;
- b. **Accidents**, such as chemical spills, industrial accidents, radiological or nuclear incidents, explosions, and utility outages;
- c. **Civil or political incidents**, including mass migrations, the domestic effects of war, nation-state attacks, and unrest or disorder resulting from riots, public demonstrations, and strikes.
- d. **Terrorist or criminal incidents**, including chemical, biological, radiological, nuclear, explosive, or cyber threats or attacks; and
- e. **Significant events and designated special events** requiring security, such as inaugurations, State of the Union addresses, the Olympics, and international summit conferences.

These contingencies are not mutually exclusive and may occur individually, simultaneously, or in combination.

## **3. A plan that emphasizes unity of effort among all levels of government**

The NRP is a national plan that emphasizes *unity of effort* among all levels of government. Under this Plan, Federal, State, and local governments, along with private organizations and the American public, work as partners to manage domestic contingencies efficiently and effectively.

## **4. A plan that integrates crisis and consequence management**

In keeping with the Presidential Directive, the NRP will “treat crisis management and consequence management as a single, integrated function, rather than as two separate functions.”



## **5. A plan that places the same emphasis on awareness, prevention, and preparedness as traditionally has been placed on response and recovery**

Traditionally, response plans have been exactly what their name implies—plans for responding to and recovering from an incident or contingency. In the aftermath of September 11, 2001, however, preventing terrorism and reducing our nation’s vulnerabilities through preparedness have become top priorities. The NRP sets forth a new concept of a “response” plan by covering five domains: awareness, prevention, preparedness, response and recovery.

### **B. Guiding Principles**

In addition to the imperatives set forth in HSPD-5, the following fundamental principles guide the development of the NRP:

#### **1. Fundamental Role of State and Local Authorities**

The NRP recognizes that domestic contingencies generally begin and are initially responded to as local events. The vast majority of events are dealt with at the State or local level. Federal involvement will not be necessary in many instances, except for reporting.

#### **2. Importance of Effective Communication**

Information sharing between agencies is critical to the success of a national plan. The NRP requires effective information sharing among all affected parties. Timely reporting is essential for informed decisionmaking at all levels. Specific reporting requirements will be detailed in the NIMS.

#### **3. Primacy of Preserving Human Life**

Preserving human life constitutes the first priority under the NRP and, during the execution of activities under this Plan. Preserving human life will always take precedence over other response and recovery requirements.

#### **4. Seamless Transitions**

The NRP includes mechanisms to provide seamless transitions that must occur on several levels. To be effective, operations must transition smoothly from simple to complex situations and from routine, day-to-day operations to catastrophic incidents. In addition, under appropriate circumstances, DHS will have mechanisms for seamless integration of DHS responsibilities with the Department of Justice (DOJ) and the Federal Bureau of Investigation (FBI), the Department of Defense (DOD), and the Department of State. These mechanisms and circumstances will be addressed in the NRP annexes.

## **5. Standardization of Systems, Procedures, and Communications**

Effective incident-management operations require interoperability and compatibility in systems, procedures, and communications. Through the NIMS, this Plan provides a core set of concepts, principles, terminology, and technologies. Agencies and authorities are expected to conform to the standards of the NRP and the NIMS.

## **6. Integration of Best Practices**

To capitalize on what has been deemed effective in the past, the NRP incorporates many best practices from previous plans and agencies, as well as exercises and actual experience. In addition, the NRP and the NIMS contain required processes to ensure continuous improvement and vulnerability reduction through lessons learned and other feedback. The NIMS will also include processes for taking advantage of research and development and technological advances.

## **7. Need for an Agile Incident Management Capability**

To support this requirement, the NRP must be:

### **a. Scalable**

The NRP can be utilized to cover the spectrum from day-to-day incident management activities to the most complex and severe contingencies, including catastrophic events.

### **b. Modular**

The NRP is designed so that some or all of its components can be tailored to fit the specific requirements of a situation.

### **c. Flexible**

The NRP is able to address new threats and risks. It also addresses the need to implement changes to operational procedures based on lessons learned and other feedback mechanisms.

## **8. Ability to Accommodate State and Local Systems**

When implemented, the NRP and the NIMS should be flexible enough to accommodate State and local incident management systems.

### ***III. The “Life Cycle” of Incident Management Activities***

HSPD-5 calls for a plan that addresses the entire universe of incident management from pre-incident awareness, prevention, and preparedness to post-incident response and recovery.

#### **A. Descriptions of the Life-Cycle Domains**

The *life cycle* of activities is best described as containing five *domains* within which domestic incident management activities occur: awareness, prevention, preparedness, response, and recovery. A key element of the domain life cycle concept is the recognition of the critical importance of the need for continuous improvement, through feedback mechanisms, lessons learned, evaluations, research and development, the adoption of best practices, and other dynamic processes.

##### **1. Awareness**

*Awareness* refers to the continual process of collecting, analyzing, and disseminating intelligence, information, and knowledge to allow organizations and individuals to anticipate requirements and to react effectively. It involves an interactive process of sharing and evaluating information from multiple sources to include the fusion of domestic and international intelligence and operational reports into a coherent picture. It includes communications and reporting activities and activities to forecast or predict incidents and to detect and monitor threats and hazards. It also covers public education. Awareness activities are the bases for advice, alert and warning, intelligence and information-sharing, technical assistance, consultations, notifications, and informed decision-making at all interagency and intergovernmental levels, as well as with the private sector and the public.

##### **2. Prevention**

*Prevention* refers to actions to avoid an incident, to intervene to stop an incident from occurring, or to mitigate an incident’s effects. It involves actions to protect lives and property and to defend against attacks. It involves applying intelligence and other information to a range of activities that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature and source of the threat; public health surveillance and testing processes; immunizations, isolation, or quarantine; and law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity.

##### **3. Preparedness**

*Preparedness* refers to the activities necessary to build and sustain performance across all of the other domains. In one sense, preparedness is part of the life cycle of a specific incident in that it includes the range of deliberate, time-sensitive tasks that

need to occur in the transition from prevention to response. Preparedness can also be characterized as a continuous process or cycle. The mission of preparedness is to develop meaningful answers to the question, “are we prepared to be aware of, to prevent, to respond to, and to recover from terrorist attacks, major disasters, and other emergencies?” Preparedness involves efforts at all levels of government and within the private sector to identify risks or threats, to determine vulnerabilities, to inventory resources available to address those vulnerabilities, and to identify requirements or shortfalls, resulting in a preparedness plan to remedy shortfalls over time. Preparedness plans include program initiatives for planning, training, equipping, exercising, and evaluating capability to ensure sustainable performance in order to prevent, prepare for and respond to incidents.

#### **4. Response**

*Response* refers to the activities necessary to address the immediate and short-term effects of an incident, which focus primarily on the actions necessary to save lives, to protect property, and to meet basic human needs. Life-saving and life-protecting activities take precedence over other critical actions. Response activities include assessing preliminary damage and unmet needs; activating and deploying response resources into an affected area; providing access to and mobility within the area of operations; developing, coordinating, and executing an integrated incident management plan (which includes the activities of all response agencies); allocating existing resources in support of the plan and obtaining additional resources as required; and deactivation and standing down. It includes activities for providing basic life-support functions and services, triaging and treating personal injuries, minimizing damage to the environment and to property, both public and private, and planning for the transition from response to recovery within each functional area. Response operations also include law enforcement, investigative, and security activities conducted to address the criminal aspects of the incident.

#### **5. Recovery**

*Recovery* refers to those actions necessary to restore the community back to normal and to bring the perpetrators of an intentional incident to justice. It entails the development, coordination, and execution of service- and site-restoration plans; the reconstitution of government operations and services; individual, private-sector, and public-assistance programs to provide housing and to promote restoration; long-term care and treatment of affected persons; additional measures for social, political, environmental, and economic restoration; evaluation of the incident to identify lessons learned; post-incident reporting; and development of initiatives to mitigate the effects of future incidents. It may also include prosecution, incarceration, or other forms of punishment against perpetrators of intentional acts, as well as the seizure and forfeiture of their property.

Domain activities are neither linear nor mutually exclusive. There is no temporal or functional dividing line between or among domains. For example, there are broad and

sustained awareness, prevention, and preparedness activities. There are also specific awareness, prevention, and preparation activities for a particular incident that can be undertaken while response or recovery activities are under way. Recovery operations may start simultaneously with response operations. Lessons learned in the conduct of activities in any of the domains will likely inform the enhancement or initiation of activities in several domains.

## **B. Federal Mechanisms to Support Life-Cycle Operations**

Examples of mechanisms for awareness, prevention, and preparedness, include:

1. Threat, risk, and vulnerability assessments;
2. Information management and intelligence coordination;
3. Grant assistance; and a
4. National training and exercise system.

The NRP also outlines mechanisms for incident management, which will be detailed in the NIMS. For example, the Secretary may, either before, during, or after an incident, designate Federal incident management officials to serve as the DHS representative to oversee Federal incident management activities in the field at the regional, State, or local level. In certain circumstances, the Secretary may designate a high-ranking Federal official to serve as the Secretary's senior representative in the field for the purpose of overseeing all Federal incident management activities. (For further explanation, see section VI., B., 1., g., below.)

## ***IV. Organization of the NRP***

The NRP is a base plan that provides the nation with a comprehensive approach to managing all domestic contingencies. When fully developed, the NRP will not be an umbrella for existing Federal incident management plans. Rather, it will build upon or incorporate what is best in the current plans of Federal, State, and local agencies, as well as those of private voluntary organizations, non-governmental organizations, and the private sector. The primary elements of the NRP as envisioned in this initial Plan are as follows:

- A. The **Roles and Responsibilities** section describes the activities of local, State, and Federal authorities and of nongovernmental organizations and the private sector in managing domestic contingencies. A key element in the NRP is the distinction between the ongoing responsibilities of the Secretary of Homeland Security and the responsibilities that the Secretary assigns to Primary Federal Agencies (PFAs) and Supporting Agencies (SAs) in the context of a given contingency.

- B. The **Concept of Operations** section describes the principal aspects of the domestic incident management system and makes initial assignments to Federal agencies regarding their responsibilities with respect to each of the functional areas and domains that describe the life cycle of an incident. This section also describes how domestic incidents will be managed, using the procedures outlined in this Plan in concert with the procedures and coordinating structures contained in existing Federal plans, until full implementation of the approved NRP.
- C. The **Preliminary Framework for the NIMS** section provides a description of elements in the NIMS. The NIMS will be defined in a forthcoming document.
- D. The **Plan for Full Development and Implementation of the NRP** section describes the movement from the initial NRP through the development of the NIMS to a fully developed NRP. The NRP is a living document that will constantly be revised in response to new information, new situations, new technology, lessons learned, and refined procedures.
- E. **Annexes** to the NRP will contain supplemental information relevant to selected portions of the NRP. They will describe each of the life cycle domains; special functions managed at the DHS-level in support of all contingencies; special coordination mechanisms pertaining to DHS's engagement with DOJ (including the FBI), DOD, and the Department of State; and the details of the NIMS.
- F. **Functional Area Plans** will be developed for each functional area by the PFA, in coordination with all of the SAs involved in the functional area. These plans will describe the tasks that will be performed within the functional area, identify potential assignments for each SA, and define the coordination mechanisms by which functional area assessments will be conducted, and by which support to awareness, prevention, preparedness, response, and recovery activities will be coordinated.

## ***V. Roles and Responsibilities***

In keeping with the National Strategy for Homeland Security and HSPD-5, the NRP recognizes the American governmental structure with its Federal, State, and local authorities, as well as the vital roles that the private sector and the citizenry play in contributing to a robust *national* effort in all domains and under all contingencies. These efforts are further supported by interconnected and complementary resource coordination mechanisms and operational capabilities from all relevant entities to help ensure that essential requirements for each contingency are met.

## **A. State and Local Authorities**

State and local levels of government<sup>4</sup> have the primary responsibility for funding, preparing, and operating the services that initially respond to an incident. For example, State and local law enforcement and health personnel provide the first line of defense in protecting critical infrastructures and public health and safety. Local police, fire, emergency medical, emergency management, public health, and other personnel are often the first to respond to an incident and the last to leave. In some instances, a Federal agency in the local area may act as a first responder to an incident, and the local assets of Federal agencies may be employed to advise or assist State or local authorities with the approval of the local head of the Federal agency.

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

1. Is responsible for coordinating State and local resources to address effectively the full spectrum of actions to prepare for and to respond to man-made incidents, including terrorism, natural disasters, and other contingencies;
2. Has extraordinary powers during a contingency to suspend authority, to seize property, to direct evacuations, and to authorize emergency funds;
3. Plays a key role in communicating to the public, in requesting Federal assistance, when State capabilities have been exceeded or exhausted, and in helping people, businesses, and organizations to cope with disasters; and
4. May also encourage local mutual aid and implement authorities for the State to enter into mutual aid agreements with other States and territories to facilitate resource sharing.

## **B. Federal Government**

HSPD-5 assigns specific roles and responsibilities to the Secretary of Homeland Security, other key Federal executives, and departments and agencies involved in domestic incident management. These roles and responsibilities will be exercised in conjunction with existing agency authorities and missions.

### **1. Secretary of Homeland Security**

Under the authority of HSPD-5, the roles and responsibilities of the Secretary of Homeland Security fall in four broad areas. These are: Direction and Planning, Communications and Information, Training and Continuous Improvement, and Incident Management.

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<sup>4</sup> As defined in Section 2 (10) and (14) of the Homeland Security Act of 2002, Pub. L. 107-296, 116 Stat. 2135, et seq. (2002).

**a. Direction and Planning**

The Secretary:

- (1) Directs the efforts of various Federal departments and agencies in anticipating, preventing, preparing for, responding to, or recovering from terrorist incidents, natural disasters, or other emergencies and for special events;
- (2) Under relationships and mechanisms established for such purposes, directs the integration of DHS activities and various other Federal departments and agencies with those of the Attorney General, generally through the FBI, concerning domestic intelligence collection, law enforcement activities to detect, prevent, preempt, and disrupt terrorist attacks, and criminal investigations of terrorist threats or attacks;
- (3) Under relationships and mechanisms established for such purposes, directs the integration of DHS activities and various other Federal departments and agencies with those of the Secretary of State when international activities are required to assist in awareness, prevention, preparation, response, or recovery activities related to a domestic incident;
- (4) Under relationships and mechanisms established for such purposes, directs the integration of DHS activities and various other Federal departments and agencies those of the Secretary of Defense concerning military support to civil authorities and for Homeland Defense activities;
- (5) Provides direction and assistance to State and local governments to develop all-disciplines, all-hazards plans and to ensure that these plans are compatible with the NRP; and to ensure that adequate equipment and other capabilities are in place, that personnel are trained, and that the plans are exercised
- (6) Provides direction and assistance to the private sector to ensure that adequate planning, training, and exercise activities take place and to promote collaboration to develop sufficient capability to reduce the nation's vulnerability.

**b. Communications and Information**

The Secretary:

- (1) Provides a core set of concepts, principles, terminology, and technologies describing the National Incident Management System;



- (2) Oversees and, as appropriate, consolidates the Federal government's communications and systems of communications relating to homeland security with State and local government personnel, agencies, and authorities, the private sector, other entities, and the public; and
- (3) Ensures that, as appropriate, information related to domestic incidents is gathered and provided to the President; to the public, private sector, state and local authorities; and to Federal departments and agencies.

**c. Training and Continuous Improvement**

The Secretary:

- (1) Provides standardized, qualitative reports to the Assistant to the President for Homeland Security on the readiness and preparedness of the nation to anticipate, prevent, prepare for, respond to, and recover from domestic incidents;
- (2) Ensures rigorous requirements for continuous improvements through a national system to plan, equip, train, exercise, test, and evaluate and to provide standards and credentialing for homeland security;
- (3) Directs and supervises specific grant programs of the Federal government for State and local governments and the private sector; and
- (4) Develops a comprehensive program for research and development (R&D); conducts basic, applied and advanced homeland security R&D; and facilitates the development of technical standards for homeland security.

**d. Incident Management**

The Secretary:

- (1) Is the Principal Federal Official for domestic incident management;
- (2) Provides direction for Federal *operations* for incident management within the United States to prepare for, respond to, or recover from terrorist attacks, major disasters, and other emergencies; and
- (3) Provides direction for the application of the Federal Government's *resources* utilized in response to or recovery from domestic incidents if and when any of the following conditions or thresholds apply:
  - a. A Federal department or agency acting under its own authority requests the Secretary's assistance;

- b. The resources of State and local authorities have been overwhelmed *and* Federal assistance has been requested;
- c. More than one Federal department or agency has become substantially involved in responding to an incident; or
- d. The President directs the Secretary to assume responsibility for managing the domestic incident.

## **2. Attorney General**

The Attorney General has lead responsibility for criminal investigations of terrorist acts and threats by individuals or groups inside the United States, or directed at United States citizens or institutions abroad, where such acts are within the Federal criminal jurisdiction of the United States, as well as for related, authorized intelligence collection activities within the United States. Generally acting through the FBI, the Attorney General, in cooperation with other Federal departments and agencies, coordinates domestic intelligence collection, and the activities of the law enforcement community to detect, prevent, preempt, and disrupt terrorist attacks, and to identify the perpetrators and bring them to justice in the event of a terrorist incident.

## **3. Secretary of Defense**

The Secretary of Defense maintains authority over DOD, including his role in the chain of command for employing DOD forces under a military command and control system. The Secretary provides authorized and appropriate military support to civil authorities for domestic incidents and retains command of military forces providing civil support.

## **4. Secretary of State**

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

## **5. Assistants to the President**

As directed by the President, the Assistant to the President for Homeland Security and the Assistant to the President for National Security Affairs are responsible for interagency *policy* coordination on domestic and international incident management.

## **6. Primary Federal Agencies (PFA)**

The Secretary of Homeland Security will designate DHS components and other departments and agencies with extensive experience, capabilities, and authorities in specific areas to serve as PFAs in managing certain functional areas related to a contingency, and to coordinate the activities of other agencies in accomplishing a given function.

The Primary Federal Agencies:

- a. Develop strategies or plans for accomplishing functions assigned by the Secretary. Plans include activities necessary to anticipate, prevent, prepare for, respond to, and recover from incidents;
- b. Execute plans as directed by the Secretary;
- c. Conduct situational assessments in an assigned functional area;
- d. Coordinate with SAs to identify the resources necessary to address Federal, State, or local operational requirements;
- e. Coordinate interagency efforts to develop and execute Functional Area Plans (see section VIII., B., 3. below) and, in specific circumstances, to deliver support in designated functional areas;
- f. Provide technical advice and assistance to DHS;
- g. Conduct periodic readiness assessments within an assigned functional area and report the results of those assessments to DHS;
- h. Plan and conduct training exercises within assigned functional areas aimed at continuous improvement of prevention, response, and recovery capabilities;
- i. Identify new equipment or capabilities required to prevent or respond to new or emerging threats and hazards, or to improve the ability to address existing threats; and
- j. Nominate new technologies that have the potential to improve performance within or across functional areas to DHS for review and evaluation.

## **7. Supporting Agencies**

The Secretary of Homeland Security shall designate DHS components and other departments and agencies as SAs to provide capabilities and resources that can be used to prevent, prepare for, respond to, or recover from domestic contingencies.

SAs:

- a. Participate in the development of Functional Area Plans (see section VIII., B., 3., below);
- b. Assist in conducting situational assessments;
- c. Furnish personnel, equipment, or other resource support as requested by DHS or a PFA;
- d. Provide input to periodic readiness assessments conducted by the PFA for assigned functional areas;
- e. Participate in training and exercises aimed at continuous improvement of prevention, response, and recovery capabilities;
- f. Identify new equipment or capabilities required to prevent or respond to new or emerging threats and hazards, or to improve the ability to address existing threats; and
- g. Nominate new technologies that have the potential to improve performance within or across functional areas, to DHS for review and evaluation.

### **C. Private Sector**

1. Nongovernmental organizations, including voluntary organizations, provide essential services to victims regardless of their eligibility for Federal or State assistance. Volunteers enhance community coordination and action at both the national and local levels.
2. As the principal provider of goods and services and the owner of approximately 85 percent of the national infrastructure, private business and industry play a significant role in helping to mitigate the physical effects and economic costs of domestic incidents. Business and industry collaboration with governments and other organizations are essential for protecting and restoring the nation's critical infrastructure in the event of an incident.
  - a. To enhance their preparedness before an incident, businesses are urged to identify their risks, to develop appropriate contingency plans, and to take corrective actions to enhance their overall readiness.
  - b. Businesses and industry can supply critical resources, can assist in restoring essential services in the short term, and can help rebuild the economic base as part of the recovery effort.

## **E. Citizenry**

As residents in their communities, citizens are active in preparing for and responding to a variety of emergencies and events. Strong partnerships with citizens are another vital support element of the national framework involving awareness, prevention, preparedness, response, and recovery.

# ***VI. Concept of Operations***

## **A. Overview**

1. Domestic incident management operations are traditionally viewed as having local, State, and Federal components. However, in keeping with the intent of HSPD-5, the NRP describes domestic incident management operations in “national” terms. National operations provide the mechanisms to coordinate Homeland Security activities at all levels of government; make the policy decisions necessary to support domestic incident management operations, to allocate resources to multi-regional contingencies, and to communicate effectively with the public concerning actual or impending incidents. This national focus is intended to ensure that Federal, State, and local authorities have the capability to work together efficiently and effectively, through the use of the NRP and the NIMS, and that the capabilities of the private and non-governmental sectors are integrated in support of national requirements. Thus, national operations are the “end state” to be achieved by the Secretary of Homeland Security through the integration of a broad spectrum of related activities into a seamless and consistent approach to domestic incident management.
2. The critical component of the NRP is the role that the Secretary of Homeland Security plays in integrating the operations of various authorities and agencies into a single system for domestic incident management. The Secretary’s unique roles and responsibilities are based on the authorities and guidance contained in such documents as the *National Strategy for Homeland Security*; the *Homeland Security Act of 2002*; and *Homeland Security Presidential Directive-5*. These roles fall into four main categories – direction and planning, communication and information, training and continuous improvement, and incident management. They span all of the domains and categories of incidents and serve to synchronize activities in each of these areas into a truly national effort. (For more detail, see section V., B., 1., above.)
3. Almost all domestic contingencies begin at the local level. As a situation escalates, local resources and capabilities may be exhausted or exceeded and additional support may be required. This support can be obtained either through local mutual-aid agreements, assistance provided by the local offices of State or Federal agencies, and ultimately by a request for assistance from the State. Should a contingency escalate further, State mutual-aid compacts can be exercised and

the State may request that the Federal government become involved in support of operations. Although local, State, and Federal authorities play different roles in managing domestic incidents, together their collective involvement constitutes the “national” system.

4. The vast majority of the domestic incidents that will occur may not require Federal assistance or resources to resolve. Nevertheless, the Secretary of Homeland Security must be able to anticipate requirements and keep the President informed on certain activities nationwide—even those that take place at the local level. In addition, the Secretary’s ability to identify trends and to communicate alerts and warnings is dependent on having an accurate picture of activities that are occurring across the nation.
5. Awareness of a domestic incident is not a mandate for the Secretary to coordinate operations in every event. In most cases, a local or State government or a Federal department or agency will exercise its own authorities, and perform its core business (maintaining public order and safety) or statutory functions in response to domestic incidents. In a similar vein, the Secretary’s authority does not impede individual Federal departments and agencies from carrying out their responsibilities under law. This permits the Secretary to exercise his authority to direct Federal operations or the application of Federal resources, by exception, when it is in the national interest.
6. Preparedness can be part of the life cycle of a specific incident and can include the range of deliberate, time-sensitive tasks that need to occur in the transition from prevention to response. The requirements for preparedness activities for a specific incident will be set forth in the NIMS. Preparedness can also be characterized as a continuous process or cycle designed to ensure sustainable performance to prevent, prepare for, and respond to incidents.
7. National incident management operations require:
  - a. A NIMS that is structured and operated in a consistent fashion across all levels of government, nationwide;
  - b. Interoperable communications that support the flow of information among all partners in the system (local, State, Federal, private, and non-governmental) into a single node that is responsible for maintaining national awareness across all domains and geographic areas;
  - c. Regional organizations or structures capable of:
    - (1) Maintaining situational awareness within their area of responsibility, reporting threats and incidents as they are identified, and providing updates on ongoing activities;

- (2) Conducting situational assessments of emerging situations to anticipate Federal awareness, prevention, preparation, response, and recovery requirements;
  - (3) Coordinating the delivery of Federal assistance or support to local and State operations over the life cycle of an incident; and
  - (4) Allocating resources across multiple incidents or jurisdictions; and
- d. A single headquarters-level coordination structure, comprised of senior representatives from DHS and the Federal departments and agencies involved in management of a specific domestic incident, that is capable of:
- (1) Reviewing and validating threat assessments and making recommendations on actions to take in response to credible threats, to include changes in the Homeland Security Alert Status;
  - (2) Framing the issues for decisions by the Secretary, and for recommendations required for preventing or responding to a specific domestic incident for decisions by the Homeland Security Council (HSC) or similar policy entity;
  - (3) Establishing national priorities for the use of or allocate resources in support of multi-regional incidents; and
  - (4) Issuing planning guidance and overseeing the development of incident management and special event plans in order to eliminate conflicts or gaps in the plans.
- e. Well-defined protocols for information and intelligence reporting and dissemination, between field activities and operations centers, at all levels of government and with the private and non-governmental sectors.
- f. Specific preparedness activities by each department and agency in preparation for and in response to a specific incident.
- g. A single framework for preventing and responding to domestic incidents in which:
- (1) The Secretary determines Federal agency participation based on the requirements of a specific incident;
  - (2) There is a seamless transition between local, State, and Federal involvement in support of a domestic incident; and
  - (3) The activities result in the optimal use of the nation's resources.

8. National preparedness requires that the Secretary of Homeland Security:
  - a. Direct activities to identify risks or threats, to determine vulnerabilities, to inventory resources available to address those vulnerabilities, and to identify requirements or shortfalls, resulting in a preparedness plan to remedy shortfalls over time;
  - b. Ensure that preparedness plans include program initiatives including planning, training, equipping, exercising, and evaluating capabilities to ensure sustainable performance in order to prevent, prepare for and respond to incidents;
  - c. Implement a comprehensive, national performance and threat-based training system that includes a robust national exercise program;
  - d. Ensure that processes to identify shortfalls and to design and manage preparedness programs are coordinated concurrently with decision-making roles in awareness, prevention, response, and recovery;
  - e. Ensure that actions and procedures that apply in one domain are fully integrated and coordinated with actions and procedures in other domains;
  - f. Provide direction for the enhancement and sustainment of capabilities that are common to all types of hazards or incidents, as well as capabilities that are unique to one hazard or incident (such as terrorism and other hazards);
  - g. Encourage the active involvement of citizens in homeland security preparedness efforts. Such involvement will include a structured program that provides education and training to allow citizen volunteers to support local preparedness efforts effectively;
  - h. Ensure that equipment purchased through financial assistance for State and local responders will meet guidelines that enable interoperability and will support minimum capabilities to prevent, respond to and recover from incidents;
  - i. Establish an accreditation system or other mechanism to oversee the quality of training bodies, venues and materials;
  - j. Maintain an effective program of preparedness information sharing for citizens and State and local responders. This program will incorporate metrics to assess the effectiveness of the information dissemination effort and to provide feedback for improvement of the effort. A critical component of information sharing is ensuring that information concerning lessons learned



from exercises and real incidents is developed, managed and disseminated as part of continuous improvement; and

- k. Establish a system to assess the nation's overall ability to prevent, prepare for, respond to and recover from incidents.

## **B. Interim Implementation**

This section describes the initial (interim) framework for managing the national response to terrorist attacks, major disasters, and other emergencies in the United States pending full implementation of an approved NRP and the supporting NIMS. It describes how the coordinating structures and procedures outlined in existing Federal plans will be used to support the Secretary of Homeland Security in his role as the Principal Federal Official for domestic incident management.

As the NRP is revised based on agency comments and recommendations, and the various components of the NIMS are developed and refined, they will be tested, exercised, evaluated, validated, and phased-in as appropriate. This evolving framework will provide enhanced operational capability over time leading to a comprehensive national approach that addresses all contingencies, spans the full life cycle of an incident, and integrates the activities of local, State, and Federal governments, as well as the private sector and non-governmental organizations. The NRP with its NIMS component will result in seamless operations and allow for flexibility in scaling awareness, prevention, preparedness, response, and recovery operations to the unique requirements of each incident in an effective and efficient manner.

Upon implementation, the approved NRP will supersede all existing Federal interagency emergency plans. Until that date, the coordination structures, operational procedures, and reporting requirements outlined in those plans remain in effect except as noted in the interim guidelines below.

### **1. Interim Guidelines for Domestic Contingency Operations**

- a. In support of the role of the Secretary of Homeland Security as the Principal Federal Official for domestic incident management and the authoritative source of information to the President and the public concerning a domestic incident, each Federal department and agency will report:
  - (1) The initiation of a Federal department or agency plan to prevent, prepare for, or respond to an incident for which a department or agency has responsibility under law;
  - (2) Submission of requests for assistance to or receipt of a request from another Federal agency; and

- (3) Receipt of requests for assistance from State or local governments, non-governmental organizations, or the private sector.
- b. State governments are requested to report, through regional structures, to DHS:
    - (1) The activation of State Emergency Operation Centers (EOC);
    - (2) Emergency declarations made under State or local authorities; and
    - (3) Activation of State mutual-aid agreements or compacts.
  - c. The Secretary will designate an Operations Center, at the headquarters level, to serve as the single point for integration of information and intelligence relative to national awareness.
  - d. The Secretary will designate a single DHS-level interagency coordinating body to perform the functions of the separate bodies described in existing plans (e.g., CDRG, IECG, NRT). This group will make recommendations to the Secretary for decisions on operations and on the resource allocation necessary for the prevention of, response to, and recovery from a domestic incident. This group will also make recommendations to the Secretary that frame the policy issues that arise during incident management activities which require decisions by the HSC or similar policy entity. At a minimum, the PFA(s) and all SAs involved in an incident will be represented.
  - e. Existing Federal regional structures will continue to coordinate awareness and preparedness activities, and will coordinate the use of Federal resources within their assigned area in support of domestic incident response operations, until an alternative regional structure is established. As required, these structures may be engaged by the Secretary or by a PFA.
  - f. The Secretary may, either before, during, or after an incident, designate Federal incident management officials to serve as the DHS representative to oversee Federal incident management activities in the field at the regional, State, or local level. In certain circumstances, the Secretary may designate a high-ranking Federal official to serve as the Secretary's senior representative in the field for the purpose of overseeing all Federal incident management activities. The authority of such officials may include certain responsibilities previously delegated to the Federal Coordinating Officer (FCO) and the FBI Special Agent in Charge (SAC) under the Federal Response Plan (FRP) and the U.S. Government CONPLAN. In making any such designation, the Secretary will consider existing authorities (e.g., current statutes that specify responsibilities for certain agencies) and relevant expertise of various Federal agencies and may, therefore, designate officials *outside* the DHS. Among other things, designated officials will be responsible for:

- (1) Coordinating the activities of PFAs and SAs;
- (2) Overseeing the allocation of resources in support of response and recovery activities;
- (3) Coordinating the clearance and dissemination of public information;
- (4) Ensuring an appropriate level of synchronization among awareness and prevention activities and those associated with preparedness response, and recovery; and
- (5) Providing updated information to the Secretary on activities and conditions.

Further details on the authorities, responsibilities, and titles for these officials will be contained in the NIMS.

- g. Prior to the declaration of a disaster or emergency, Federal departments and agencies may be required to use their own funding to perform functions or tasks assigned by the PFA until additional funding resources become available.
- h. In support of all contingency categories, PFAs are responsible for:
  - (1) Providing appropriate liaison and staffing at the operations centers involved in managing the incident;
  - (2) Conducting situation assessments and developing incident management plans to guide awareness, prevention, preparation, response and recovery operations, the assignment of functions or tasks to SAs as necessary, and coordinate multi-agency activities during execution of the plan;
  - (3) Keeping DHS, other PFAs, and SAs informed of operational priorities and activities within the functional area; and
  - (4) Ensuring, through the exercise of due diligence, financial and property accountability for functional area activities.
- i. In support of all contingency categories, SAs are responsible for:
  - (1) Providing appropriate liaison and staffing at the operations centers involved in managing the incident;
  - (2) Assisting in the conduct of situational assessments and assisting in the development of incident management plans, as requested by the PFA;

- (3) Performing functions or tasks assigned by the PFA, and furnishing personnel, equipment, or other resource support as requested by the PFA or DHS. As necessary, reach-back to the parent agency for additional resources; and
  - (4) Providing status and resource-related information as requested by the PFA.
- j. In support of all contingency categories, State and local governments are responsible for:
- (1) Conducting awareness, prevention (where appropriate), preparation, response, and recovery activities for all hazards;
  - (2) Activating local and State response organizations, and mutual aid agreements or compacts to address resource requirements that exceed capabilities; and
  - (4) Seeking Federal assistance as required to fill resource or capability shortfalls or to resolve issues outside of State or local purview.

## **2. Secretary's Designation of Primary Federal Agencies by Functional Area**

Functional areas are major groupings of the functions and tasks that agencies perform over the full domain from awareness to recovery. The Secretary's initial designations of PFAs and SAs by functional area are summarized below. Additional detail by functional area and function is provided in Appendix A. PFAs are expected to coordinate with all SAs to ensure that agency capabilities are fully understood, and to establish interim liaison and coordination requirements for responding to incidents that might occur prior to implementation of the approved NRP. Functional areas are described as follows:

- a. *Information, Intelligence, and Warning* refers to the intelligence gathering, information sharing, and warning system that can detect activities so that appropriate and effective preemptive, preventive, and protective action can be taken.
  - (1) PFA: DHS-IAIP
  - (2) SAs: All Federal Agencies

- b. *International Coordination* refers to activities that relate to cooperative efforts with foreign counterparts on security measures, counterterrorism activities, and other topics relating to incident management, preparedness, and response.
- (1) PFA: Department of State
- (2) SAs: DHS-BTS, DHS-S&T, DOC, DOD, DOE, DOI, DOJ, DOT, HHS, DCI, Treasury, USDA
- c. *Terrorism Preparedness* refers to a comprehensive national program that encompasses all homeland security systems that plan organizational, operational, and technical measures to achieve full and sustainable performance of various activities. These activities include preventing, disrupting, or deterring threats and acts of terrorism; reducing vulnerabilities; mitigating the effects of acts of terror; responding to threats or acts of terrorism; and performing effective remediation and recovery efforts from terrorist attacks throughout the entire threat spectrum.
- (1) PFA: DHS-BTS
- (2) SAs: DHS-IAIP, DHS-S&T, DHS-BTS, DHS-EPR, DOD, HHS, DOE, DOJ-FBI
- d. *Domestic Counterterrorism* refers to the system under which Federal, State, and local law enforcement authorities will assign priority to preventing and interdicting terrorist activity within the United States while they continue to carry out their traditional missions to investigate and to prosecute criminal activity. Our nation will use all legal means, both traditional and non-traditional, to identify, to halt, and where appropriate, to prosecute terrorists in the United States.
- (1) PFA: DOJ-FBI
- (2) SAs: DHS-BTS, DHS-S&T, DOD, DOE, EPA, FDA, HHS, DCI, NRC
- e. *Border and Transportation Security* refers to activities that promote the efficient and reliable flow of people, goods, and services across borders, while preventing terrorists from using transportation conveyances or systems to deliver implements of destruction.
- (1) PFA: DHS-BTS
- (2) SAs: DHS-USCG, DHS-S&T, DHS-IAIP, DOC, DOD, DOE, DOJ, DOL, Department of State, DOT, HHS, DCI, USDA

- f. *Infrastructure Protection* refers to activities that improve the protection of the individual pieces and interconnecting systems that make up our nation's critical infrastructure. These activities are intended to protect the assets, systems, and functions vital to our national security, governance, public health and safety, economy, and national morale.
  - (1) PFA: DHS-IAIP
  - (2) SAs: DHS-S&T, DHS-USCG, DOD, DOE, DOT, EPA, HHS, Treasury, USDA, USPS
  
- g. *Homeland Defense* refers to the protection of U.S. territory, the domestic population, and critical infrastructures against military attacks emanating from outside the United States. DOD contributes to homeland security through its military missions overseas, as well as through homeland defense and military support to civil authorities.
  - (1) PFA: DOD
  - (2) SAs: DHS-USCG, DHS-IAIP
  
- h. *Emergency Management* refers to a comprehensive process to bring together and to coordinate mitigation, preparedness, response, and recovery resources and activities into a comprehensive, all-hazards emergency management system. This system is designed to minimize the impact caused by an event irrespective of the type of contingency. Governments at all levels are expected to marshal resources, to channel the efforts of the private sector in the impacted community, and to seek out assistance from surrounding political jurisdictions if necessary.
  - (1) PFA: DHS-EPR
  - (2) SAs: DHS-IAIP, DHS-USCG, DHS-S&T, AID, DOC, DOD, DOE, ED, DOI, DOJ, DOL, Department of State, DOT, DVA, EPA, FCC, FDIC, GSA, HHS, HUD, NASA, NRC, SBA, Treasury, TVA, USDA, USPS, ARC, SSA, CNS
  
- i. *Law Enforcement* refers to traditional law enforcement functions to ensure public safety and security and to bring perpetrators to justice.
  - (1) PFA: DOJ
  - (2) SAs: DHS-BTS, DHS-USCG, DHS-USSS

- j. *CBRNE Hazard Management* refers to technical structures and systems that prepare for and respond to chemical, biological, radiological, nuclear, and explosive incidents regardless of the cause.

- (1) PFA: DHS-EPR

- (2) SAs: DHS-EPR, DHS-IAIP, DHS-S&T, DHS-USCG, DOC, DOD, DOE, DOI, DOJ, DOL, Department of State, DOT, DVA, EPA, DOJ-FBI, GSA, HHS, HUD, NASA, NIH, NRC, USDA

### 3. Concept of Operations for Specific Contingencies

This section describes the concept of operations as it applies to each of the five domestic contingency categories identified in the NRP. These include natural disasters, accidents, civil or political incidents, terrorist or criminal incidents, and significant events and designated special events. The assignment of PFAs by functional area is provided for each contingency.

- a. **Natural Disasters.** Natural disasters may include floods, earthquakes, hurricanes, tornadoes, droughts, and epidemics.

- (1) In operations related to natural disasters, the special responsibilities of various authorities, agencies, and organizations are as follows:

- (a) The Secretary of Homeland Security is responsible for:

- i. Gathering information related to disaster preparation, response, and recovery, and providing relevant information to the public, the private sector, local and State authorities, Federal departments and agencies, and the President;
- ii. Directing Federal operations to prepare for, respond to, and recover from major disasters;
- iii. Designating a PFA to coordinate the activities of SAs within each functional area to prepare for, respond to, and recover from major disasters;
- iv. Receiving and making recommendations to the President concerning State requests for Federal assistance; and
- v. Obtaining, on behalf of Federal agencies, access to additional resources via emergency or disaster declarations.

(b) PFAs are responsible for:

- i. Performing missions prior to the declaration of a disaster in accordance with their responsibilities as PFAs. PFAs will use their own funding until additional function resources become available;
- ii. Planning specific aspects of a contingency and coordinating Federal multi-agency efforts, as designated by the Secretary; and
- iii. Working through the Secretary’s designated representatives to coordinate interagency mission assignments and to monitor their completion.

(2) **Table 1** designates the PFA responsible for each functional area as relevant to natural disasters.

**Table 1 — Agency Responsibilities for Natural Disasters**

NATURAL DISASTERS					
<i>SECRETARY'S ROLES</i>	<i>AWARENESS</i>	<i>PREVENTION</i>	<i>PREPAREDNESS</i>	<i>RESPONSE</i>	<i>RECOVERY</i>
DIRECTION AND PLANNING					
COMMUNICATIONS & INFORMATION					
TRAINING & CONTINUOUS IMPROVEMENT					
INCIDENT MANAGEMENT					
<i>FUNCTIONAL AREA</i>	<i>AWARENESS</i>	<i>PREVENTION</i>	<i>PREPAREDNESS</i>	<i>RESPONSE</i>	<i>RECOVERY</i>
INFORMATION / INTELLIGENCE / WARNING	DHS - IAIP	DHS - IAIP	DHS - IAIP	DHS - IAIP	DHS - IAIP
INTERNATIONAL COORD	DOS		DOS	DOS	DOS
TERRORISM PREPAREDNESS					
DOMESTIC COUNTERTERRORISM					
BORDER & TRANSPORTATION SECURITY					
INFRASTRUCTURE PROTECTION	DHS - IAIP	DHS - IAIP	DHS - IAIP		
HOMELAND DEFENSE				DOD	DOD
EMERGENCY MANAGEMENT			DHS - EPR	DHS - EPR	DHS - EPR
LAW ENFORCEMENT				DOJ	DOJ
CBRNE HAZARD	DHS - EPR		DHS - EPR	DHS - EPR	DHS - EPR

(3) Except as otherwise noted in this Plan, the coordinating structures outlined in the Federal Response Plan (FRP) will be used in the interim by the PFA(s) for coordinating awareness, preparation, recovery, and response activities for natural disasters and other emergencies not covered in existing plans.



**b. Accidents.** Accidents may include chemical spills, industrial accidents, radiological or nuclear incidents, explosions, and utility outages.

(1) In operations related to accidents, the special responsibilities of various authorities, agencies, and organizations are as follows:

(a) The Secretary of Homeland Security is responsible for:

- i. Gathering information related to accident preparedness, response, and recovery, and providing information to the public, the private sector, local and State authorities, Federal departments and agencies, and the President;
- ii. Providing direction and assistance to local and State authorities and the private sector to ensure that plans are developed and resources are allocated to prevent, respond to, or recover from accidents and to protect the public from the effects of accidents;
- iii. Ensuring that plans are developed and procedures are in place to manage incidents and to mobilize resource requirements in areas of preeminent Federal authority; and
- iv. Ensuring that supporting technical plans for specific contingencies are periodically reviewed and updated as necessary.

(b) PFAs are responsible for:

- i. Developing plans and strategies to address incidents involving preeminent Federal authority;
- ii. Directing the activities of various Federal departments and agencies once an accident has been reported; and
- iii. Utilizing existing user fee trust funds, under existing agency protocols, to pay for costs associated with specific response and preparedness activities.

(c) Facility operators, material owners, or the party responsible for a spill or release are responsible for:

- i. Providing corporate resources to respond to and recover from a spill or release;

- ii. Coordinating with local or State officials to identify resource shortfalls and issues that need to be elevated to higher levels for resolution; and
- iii. Notifying key local, State, and Federal agencies as soon as an incident occurs.

(2) **Table 2** designates the PFA responsible for each functional area as relevant to accidents.

**Table 2 — Agency Responsibilities for Accidents**

ACCIDENTS					
SECRETARY'S ROLES	AWARENESS	PREVENTION	PREPAREDNESS	RESPONSE	RECOVERY
DIRECTION AND PLANNING					
COMMUNICATIONS & INFORMATION					
TRAINING & CONTINUOUS IMPROVEMENT					
INCIDENT MANAGEMENT					
FUNCTIONAL AREA	AWARENESS	PREVENTION	PREPAREDNESS	RESPONSE	RECOVERY
INFORMATION / INTELLIGENCE / WARNING	DHS - IAIP	DHS - IAIP	DHS - IAIP	DHS - IAIP	DHS - IAIP
INTERNATIONAL COORD	DOS				
TERRORISM PREPAREDNESS					
DOMESTIC COUNTERTERRORISM					
BORDER & TRANSPORTATION SECURITY		DHS - BTS	DHS - BTS		
INFRASTRUCTURE PROTECTION	DHS - IAIP	DHS - IAIP	DHS - IAIP		
HOMELAND DEFENSE				DOD	
EMERGENCY MANAGEMENT	DHS - EPR		DHS - EPR	DHS - EPR	DHS - EPR
LAW ENFORCEMENT	DOJ		DOJ	DOJ	
CBRNE HAZARD	DHS - EPR			DHS - EPR	DHS - EPR

(3) Except as otherwise noted in this Plan, the coordinating structures and procedures outlined in the National Oil and Hazardous Substances Pollution Contingency Plan (NCP) will be used in the interim by the PFA(s) for coordinating awareness, prevention, preparation, response, and recovery activities related to oil spills or hazardous material releases.

(4) Except as otherwise noted in this Plan, the coordinating structures and procedures outlined in the Federal Radiological Emergency Response Plan will be used in the interim by the PFA(s) for coordinating awareness, prevention, preparation, response, and recovery activities related to nuclear or radiological events.

(5) Except as otherwise noted in this Plan, the coordinating structures and procedures outlined in the Federal Response Plan (FRP) will be used in the interim by the PFA(s) for coordinating awareness, prevention, preparation, response, and recovery activities related to any other type of accident.

**c. Civil or Political Incidents.** Civil or political incidents may include mass migrations, the domestic effects of war, nation-state attacks, and unrest or disorder resulting from riots, public demonstrations, and strikes.

(1) In operations related to civil or political incidents, the special responsibilities of various authorities, agencies, and organizations are as follows:

(a) The Secretary of Homeland Security is responsible for:

- i. Gathering information relevant to civil or political incidents and providing information to the public, the private sector, local and State authorities, Federal departments and agencies, and the President;
- ii. Coordinating with local and State authorities to ensure that plans are developed and resources are allocated to prevent, respond to, or recover from civil or political incidents.
- iii. Ensuring that plans are developed and that procedures are in place to mobilize resources requirements in areas of preeminent Federal authority; and
- iv. Establishing appropriate relationships and mechanisms for cooperation and coordination with the Attorney General.

(b) PFAs are responsible for developing plans and strategies to address incidents involving preeminent Federal authority.

(2) **Table 3** designates the PFA responsible for each functional area as relevant to civil and political incidents.

**Table 3 — Agency Responsibilities for Civil or Political Incidents**

CIVIL OR POLITICAL INCIDENTS					
SECRETARY'S ROLES	AWARENESS	PREVENTION	PREPAREDNESS	RESPONSE	RECOVERY
DIRECTION AND PLANNING					
COMMUNICATIONS & INFORMATION					
TRAINING & CONTINUOUS IMPROVEMENT					
INCIDENT MANAGEMENT					
FUNCTIONAL AREA	AWARENESS	PREVENTION	PREPAREDNESS	RESPONSE	RECOVERY
INFORMATION / INTELLIGENCE / WARNING	DHS - IAIP	DHS - IAIP	DHS - IAIP	DHS - IAIP	DHS - IAIP
INTERNATIONAL COORD	DOS	DOS	DOS	DOS	DOS
TERRORISM PREPAREDNESS					
DOMESTIC COUNTERTERRORISM					
BORDER & TRANSPORTATION SECURITY		DHS - BTS	DHS - BTS		
INFRASTRUCTURE PROTECTION	DHS - IAIP	DHS - IAIP	DHS - IAIP		
HOMELAND DEFENSE	DOD	DOD	DOD	DOD	
EMERGENCY MANAGEMENT			DHS - EPR	DHS - EPR	DHS - EPR
LAW ENFORCEMENT	DOJ	DOJ	DOJ	DOJ	
CBRNE HAZARD					

(3) Except as otherwise noted in this Plan, the coordination structures and procedures outlined in the Mass Migration Emergency Plan (*Distant Shore*) will be used in the interim by the PFA(s) for coordinating awareness, prevention, preparation, response, and recovery activities related to mass migration incidents.

(4) Except as otherwise noted in this Plan, the procedures governing the request for and employment of DOD personnel and resources in support of civil disturbances, as outlined in Operation Garden Plot, remain in effect.

**d. Terrorist or Criminal Incidents.** Terrorist or criminal incidents may include chemical, biological, radiological, nuclear, explosive, or cyber attacks.

(1) In operations related to terrorist or criminal incidents, the special responsibilities of various authorities, agencies, and organizations are as follows:

- (a) The Secretary of Homeland Security is responsible for:
  - i. Providing direction for the application of Federal government resources that are used to support domestic counterterrorism operations;
  - ii. Assisting in ensuring that the Attorney General has all of the resources necessary to conduct intelligence and law enforcement activities and criminal investigations;
  - iii. Gathering information related to domestic counterterrorism preparedness, response, and recovery, and providing information to the public, the private sector, local and State authorities, Federal departments and agencies, and the President;
  - iv. Ensuring that plans are developed and that resources are allocated to respond to or to recover from a terrorist attack;
  - v. Ensuring that response and recovery plans are fully coordinated and synchronized with domestic counterterrorism law enforcement activities;
  - vi. Participating in an interagency process to review and validate threat assessments; and
- (b) The Attorney General, generally acting through the FBI, as PFA for the domestic counterterrorism functional area, is responsible for:
  - i. Coordinating domestic intelligence collection activities;
  - ii. Coordinating activities of the law enforcement community to detect, prevent, preempt, or disrupt terrorist attacks;
  - iii. Conducting the criminal investigation of terrorist threats or acts; and
  - iv. Identifying the perpetrators and bringing them to justice.
- (c) The Secretary of Defense provides military support to civil authorities for domestic incidents as directed by the President or when consistent with military readiness and appropriate under the circumstances and the law. The Secretary of Defense retains command of military forces employed in support of domestic incident management operations.
- (d) The Secretary of State has the responsibility to coordinate international activities related to awareness, prevention, preparation, response, and

recovery with regard to a domestic terrorism incident and for the protection of United States citizens and interests overseas.

(2) **Table 4** designates the PFA responsible for each functional area as relevant to terrorism and criminal incidents.

**Table 4 — Agency Responsibilities for Terrorist or Criminal Incidents**

TERRORIST OR CRIMINAL INCIDENTS					
<i>SECRETARY'S ROLES</i>	<i>AWARENESS</i>	<i>PREVENTION</i>	<i>PREPAREDNESS</i>	<i>RESPONSE</i>	<i>RECOVERY</i>
DIRECTION AND PLANNING					
COMMUNICATIONS & INFORMATION					
TRAINING & CONTINUOUS IMPROVEMENT					
INCIDENT MANAGEMENT					
<i>FUNCTIONAL AREA</i>	<i>AWARENESS</i>	<i>PREVENTION</i>	<i>PREPAREDNESS</i>	<i>RESPONSE</i>	<i>RECOVERY</i>
INFORMATION / INTELLIGENCE / WARNING	DOJ-FBI	DOJ-FBI	DOJ-FBI	DOJ-FBI	DOJ-FBI
INTERNATIONAL COORD	DOS	DOS	DOS	DOS	DOS
TERRORISM PREPAREDNESS			DHS - BTS		
DOMESTIC COUNTERTERRORISM	DOJ-FBI	DOJ-FBI	DOJ-FBI	DOJ-FBI	DOJ-FBI
BORDER & TRANSPORTATION SECURITY	DHS - BTS	DHS - BTS	DHS - BTS	DHS - BTS	DHS - BTS
INFRASTRUCTURE PROTECTION	DHS - IAIP	DHS - IAIP	DHS - IAIP		
HOMELAND DEFENSE	DOD	DOD	DOD	DOD	
EMERGENCY MANAGEMENT			DHS - EPR	DHS - EPR	DHS - EPR
LAW ENFORCEMENT				DOJ	DOJ
CBRNE HAZARD	DHS - EPR	DHS - EPR	DHS - EPR	DHS - EPR	DHS - EPR

(3) Except as otherwise noted in this Plan, the coordination structures and procedures outlined in the existing U.S. Government Interagency Domestic Terrorism Concept of Operations Plan (CONPLAN) will be used by the PFA(s) in the interim for coordinating awareness, prevention, preparation, response, and recovery activities related to incidents of domestic counterterrorism.

**e. Significant Events and Designated Special Events.** Significant events and designated special events may include inaugurals, State of the Union addresses, the Olympics, and summit conferences.

(1) In operations related to significant events and designated special events, the special responsibilities of various authorities, agencies, and organizations are as follows:

- (a) The Secretary of Homeland Security is responsible for:
- i. Coordinating with the Attorney General regarding the Federal government's efforts to plan for and support designated National Special Security Events (NSSE);
  - ii. Participating in the decision-making process to designate NSSE(s);
  - iii. Identifying other special events that may require coordinated national planning;
  - iv. Chairing interagency groups to review resource requests to determine those that should be provided by Federal agencies;
  - v. Assisting in ensuring that the PFAs have all of the resources necessary to conduct NSSE and other special event activities; and
  - vi. Ensuring that preparedness, response and recovery plans for special events are fully coordinated and synchronized with appropriate PFAs, SAs, and local and State organizations.
- (b) Local and State authorities are responsible for:
- i. Coordinating requirements from the organization sponsoring an event; and
  - ii. Determining resource shortfalls and submitting resource requests, through the existing structures and mechanisms, to the national level for consideration.
- (c) Event sponsors are responsible for developing concepts for conducting the event, identifying the resource requirements necessary to support the event, and submitting resource requests to local and State governments for consideration.

(2) **Table 5** designates the PFA responsible for each functional area as relevant for special events.

**Table 5 — Agency Responsibilities for Significant Events and Designated Special Events**

SIGNIFICANT EVENTS AND DESIGNATED SPECIAL EVENTS					
SECRETARY'S ROLES	AWARENESS	PREVENTION	PREPAREDNESS	RESPONSE	RECOVERY
DIRECTION AND PLANNING					
COMMUNICATIONS & INFORMATION					
TRAINING & CONTINUOUS IMPROVEMENT					
INCIDENT MANAGEMENT					
FUNCTIONAL AREA	AWARENESS	PREVENTION	PREPAREDNESS	RESPONSE	RECOVERY
INFORMATION / INTELLIGENCE / WARNING	DHS - IAIP	DHS - IAIP	DHS - IAIP	DOJ-FBI	DOJ-FBI
INTERNATIONAL COORD	DOS	DOS	DOS	DOS	DOS
TERRORISM PREPAREDNESS			DHS - BTS		
DOMESTIC COUNTERTERRORISM	DOJ-FBI	DOJ-FBI	DOJ-FBI	DOJ-FBI	
BORDER & TRANSPORTATION SECURITY	DHS - BTS	DHS - BTS	DHS - BTS		
INFRASTRUCTURE PROTECTION	DHS - IAIP	DHS - IAIP	DHS - IAIP		
HOMELAND DEFENSE	DOD	DOD	DOD		
EMERGENCY MANAGEMENT			DHS - EPR	DHS - EPR	DHS - EPR
LAW ENFORCEMENT	DOJ	DOJ	DOJ	DOJ	
CBRNE HAZARD	DHS - EPR	DHS - EPR	DHS - EPR	DHS - EPR	DHS - EPR

## VII. Preliminary Framework for the NIMS

The NIMS is a consistent nationwide framework within which Federal, State, and local governments and the private sector can work effectively and efficiently together within a common system to prepare for, respond to, and recover from domestic incidents, regardless of their cause, size, or complexity. To provide for interoperability and compatibility among Federal, State, and local capabilities, the NIMS will include a core set of concepts, principles, terminology, and technologies covering the incident command system; multi-agency coordination systems; unified command; training; identification and management of resources (including systems for classifying types of resources); qualifications and certification; and the collection, tracking, and reporting of incident information and incident resources.

NIMS establishes specific core principles of emergency management to enhance efficiency. These principles are integrated into day-to-day operations to ensure their effectiveness across the life cycle of an incident, from awareness, prevention, and preparedness through response and recovery.



Detailed guidance regarding NIMS processes and procedures will be promulgated in forthcoming guidance and implementation documents. By July 1, 2003 the Secretary will, in consultation with Federal departments and agencies and with State and local governments, develop a national system of standards, guidelines and protocols to implement the NIMS and will establish an ongoing management and maintenance structure for that system.

This section outlines the basic NIMS framework and its integration into the NRP. NIMS is built on the following core principles:

### **A. Common Terminology**

The NIMS utilizes a common set of terms and associated meanings, to be used across the incident management community and in all plans supporting the NRP to ensure effective communication between participants.

### **B. Incident Command System (ICS)**

The ICS is the on-scene management structure suitable for managing any incident. A scalable structure, it encompasses all phases and complexity levels of incident management. ICS consists of five primary management functions (command, operations, planning, logistics, and finance) and a Unified Command structure.

### **C. Unified Command**

Unified Command brings together all major organizations (Federal, State, local, and private) with direct responsibility or authority for an incident into a single command structure. This enhances preparedness, response and recovery activities while allowing each organization to fulfill its jurisdictional authorities, responsibilities, and accountability.

### **D. Multi-Agency Coordination System (MACS)**

MACS is a combination of committees, facilities, equipment, personnel, procedures, and communications protocols integrated into a common interagency system with responsibility for coordinating and supporting incident operations. MACS establishes policies and priorities; allocates and tracks resources; and coordinates interagency and intergovernmental decisions. The MACS functions principally through Emergency Operations Centers and Emergency Prevention and Preparedness Councils.

#### **1. Emergency Operations Center (EOC)**

An EOC is a physical location for coordinating response and recovery actions and resources in support of incidents. A permanent, national-level EOC and regional EOCs are envisioned to support NRP requirements.

## **2. Emergency Prevention and Preparedness Councils (EPPC)**

EPPCs are multi-agency, multi-jurisdictional bodies established for pre-event coordination. EPPCs are the principal mechanism through which to maintain and improve the NIMS.

### **E. Resource Management**

Efficient incident management requires a system to identify available resources at all intergovernmental levels in order to enable timely and unimpeded access to resources needed to prepare for, response to, or recover from an incident. Resource management under the NIMS includes mutual-aid agreements, the use of special Federal teams, and resource mobilization protocols.

### **F. Training and Exercise System**

In the interest of proper preparedness, NIMS will establish the means to ensure that necessary personnel have the skills to implement emergency plans and perform technical tasks. This system includes a qualification and certification system, a national standard for NIMS positions, and a continuous national incident management capability assurance program.

### **G. Supporting Technology**

NIMS will provide a support architecture to ensure identification of state-of-the-art technologies and systems for application to emergency response activities.

### **H. Incident Communications and Information Management**

NIMS will provide procedures for the effective, coordinated, and controlled management of incident-related information between response centers and to other interested parties. The flow of intelligence and information between local, regional, and national levels is essential in maintaining domain awareness and ensuring that proper prevention and preparedness measures are implemented. Post-incident information management is equally important in executing efficient, effective response.

### **I. Public Engagement**

NIMS will provide for the mechanisms to ensure information related to domestic incidents is gathered and provided to the public; the private sector; State and local authorities; Federal departments and agencies; and to the President.

## **J. NIMS Framework within the NRP Structure**

Most domestic incidents are handled at the local Unified Command level with local entities (Federal, State, and local) participating as appropriate to the incident. In pre-event preparedness and prevention scenarios, the Local Emergency Prevention and Preparedness Councils (LEPPC) play a vital role in coordinating with the local emergency response, prevention, and preparedness communities. The LEPPC(s) are coordinating entities made up of participating local entities.

In the event of the less frequent incident exceeding the local preparedness, response, and/or recovery communities' capabilities, the regional and national incident management organizations will provide support. Working within the State and/or Regional Emergency Operations Centers (SEOC/REOC) and within the Joint Operating Center (JOC) in the case of FBI participation, the multi-agency coordination requirements occur within these frameworks, providing information and resources for the incident commander at the local level.

Pre-event preparedness and prevention activity occurs at the State and regional EOC(s) and within the Regional Emergency Prevention and Preparedness Councils (REPPC). The National Emergency Prevention and Preparedness Council (NEPPC) coordinates the NIMS, providing policy and guidance to the regional and local EPPCs. The NEPPC is chaired by DHS and members are drawn from each of the PFAs or Support Agencies.

## **K. Relationship Between NIMS and NIIMS**

NIMS is not the National Interagency Incident Management System (NIIMS), but it does recognize the significant benefits of NIIMS and incorporates many of the NIIMS principles. Given that there are differences, however, it is incorrect to assume that the NIMS is a mirror of NIIMS.

## **L. Notional Structure for NIMS Operations**

A notional structure under which NIMS could operate is shown in **Figure 1**. Not every agency and interrelationship is shown, but it is illustrative of the interrelationships between local, regional, and national levels. The important aspect of this concept is the understanding that there is ongoing preparedness and planning going on at each level. This planning is coordinated through a series of EPPCs, whose members represent the breadth of the incident management community. Within these EPPCs are imbedded information and intelligence management processes. The incident management structures will be rooted in the existing Incident Management System as explained in the National Interagency Incident Management System (NIIMS), utilizing Joint Information Centers (JICs) to coordinate the passing of information at all levels. The NIMS will focus on the mechanisms to make the proposed incident management structures a reality.

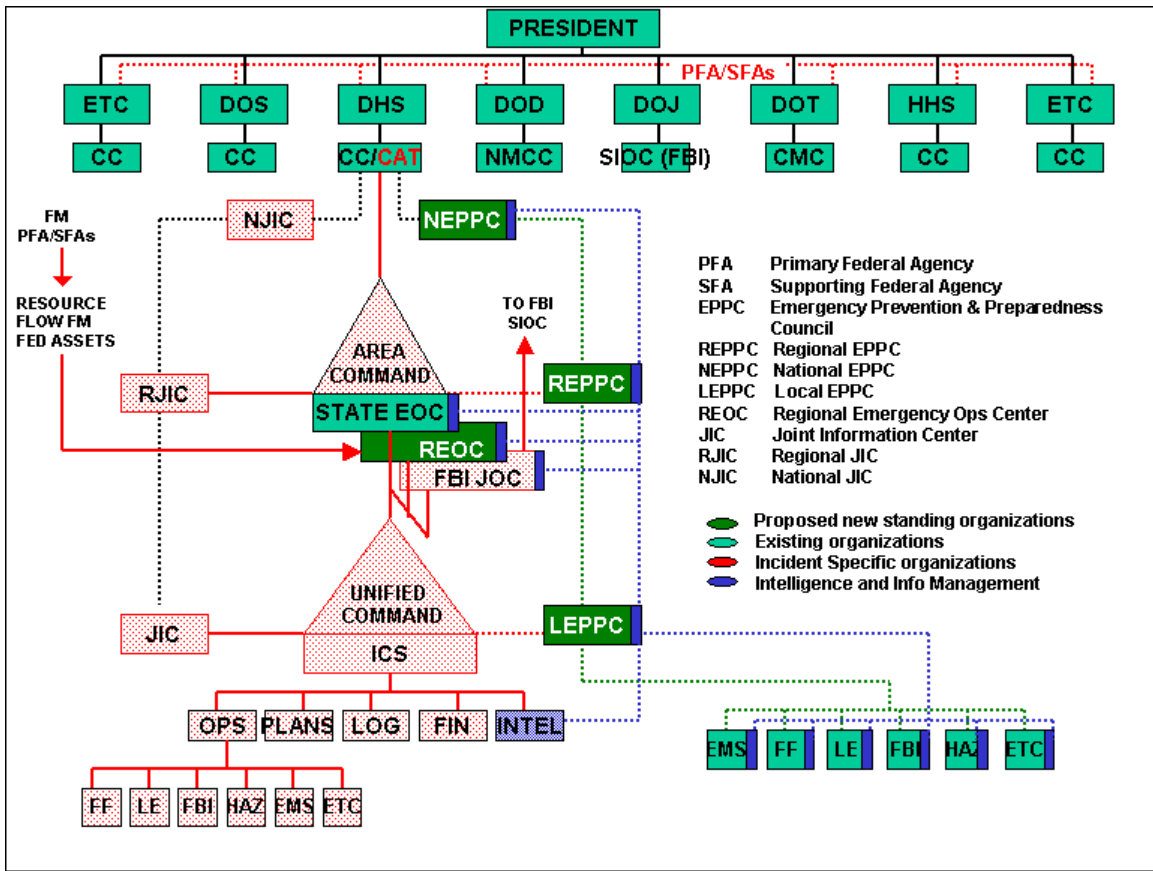


Figure 1—Notional Structure for NIMS Operations

## VIII. Process for Full Development and Implementation of the NRP

### A. Remaining Tasks

The following tasks remain in order to fulfill the requirements of HSPD-5:

1. **The Secretary of Homeland Security shall:**
  - a. By July 1, 2003, in consultation with Federal departments and agencies and with State and local governments, develop a national system of standards, guidelines, and protocols to implement the NIMS and establish a mechanism for ensuring ongoing management and maintenance of the NIMS, including regular consultation with other Federal departments and agencies and with State and local governments; and
  - b. By September 1, 2003, in consultation with Federal departments and agencies and the Assistant to the President for Homeland Security, review existing authorities and regulations and prepare recommendations for the President on revisions necessary to implement the NRP fully.

**2. Federal agencies shall:**

- a. By July 1, 2003, make initial revisions to existing plans in accordance with the initial version of the NRP; and
- b. By September 1, 2003, submit a plan for adoption and implementation of the NIMS to the Secretary and the Assistant to the President for Homeland Security.

**B. Additional Guidance for Federal Agencies to Meet the July 1, 2003 HSPD-5 Submission**

Under the timelines established by HSPD-5, departments and agencies are required to submit to the Secretary of Homeland Security the initial revisions to existing plans necessary to bring them into conformance with this initial version of the NRP.

**1. Federal Agency Plans**

- a. The requirement to revise plans to conform to the NRP may be addressed by an addendum to current plans that clearly:
  - (1) Recognizes the roles and responsibilities described in the NRP and the conditions under which the Secretary directs either operations, the application of resources, or both
  - (2) Recognizes and incorporates the fundamental changes in terminology contained in the NRP;
  - (3) Includes the protocols for notification, consultation, and coordination necessary to support national awareness and the Secretary's role with respect to domestic incident management; and
  - (4) Describes initial strategies for addressing requirements under the new domains (awareness, prevention, and preparedness).
- b. This should not be construed as a requirement to rewrite or republish existing plans at this time. The intent is to provide interim guidance to support the ability of the Secretary to meet his responsibilities with respect to Direction & Planning, Communications & Information, Training & Continuous Improvement, as well as Incident Management (under the conditions prescribed by the President).

## **2. Federal Interagency Plans**

- a. The direction in HSPD-5, to revise existing Federal interagency plans in accordance with the initial version of the NRP, may be met by an addendum to the existing plan, as described above, with the following additions:
  - (1) Adjustments to the coordinating structures at the local and regional levels to include all of the SAs and other partners in the national plan;
  - (2) Transfer of responsibility for providing operational direction and framing policy issues at the national level from the plan-specific interagency body (e.g., CDRG, NRT, IECG) to a single interagency coordinating body designated by the Secretary, and
  - (3) An interim concept of operations that describes how the PFA and SA(s), working together, will meet the full range of requirements within the functional area, across all domains, in coordination with other PFA(s), and in support of the Secretary of Homeland Security.
- b. The process for developing an addendum for each of the existing Federal interagency plans will be led by the Primary Federal Agency, with the appropriate authorities, experience, and expertise, as indicated below:
  - (1) Federal Response Plan (FRP): DHS-EPR
  - (2) Domestic Terrorism Concept of Operations Plan (CONPLAN): DOJ (FBI)
  - (3) Federal Radiological Emergency Response Plan (FRERP): DHS-EPR
  - (4) Mass Migration Emergency Plan (*Distant Shore*): DHS-BTS
  - (5) National Oil Spill and Hazardous Substances Pollution Contingency Plan (NCP): DHS-EPR

## **3. Process for Full Development and Implementation of Functional Area Plans**

- a. Based on initial functional area assignments made in section VI., B., 2. above, and reflected in Tables 1-5, each PFA is expected to meet with designated SA(s) to conduct a preliminary assessment and to outline the process for full development of a Functional Area Plan.
- b. The process for the full development of the Functional Area Plans will:
  - (1) Validate or recommend revisions to the roles and responsibilities described in the NRP;

- (2) Identify the full range of mission-essential tasks that must be performed across all domains in support of the appropriate contingencies;
- (3) Validate the assignment of SA(s) to the functional area and recommend the inclusion of additional SA(s), as required;
- (4) Assess the collective ability of the SA(s) to perform the mission-essential tasks and identify gaps, shortfalls, or limitations on the delivery of required capabilities;
- (5) Determine whether sufficient statutory or funding authority exists to meet functional area requirements across all domains; and
- (6) Identify additional guidance required to facilitate the full development of the Functional Area Plan.

#### **4. Review of Initial Plan Revisions and Process for Development of Functional Area Plans**

- a. Department and agency heads should provide by July 1, 2003 copies of Federal agency plans, with addenda, to the Secretary for review.
- b. PFAs should provide by July 1, 2003 copies of addenda to existing Federal interagency plans, and their process for full development of Functional Area Plans, to the Secretary for review.

#### **C. Long-Term Guidance**

Beginning in Fiscal Year 2005, Federal departments and agencies shall make adoption of the NIMS a requirement, to the extent permitted by law, for providing Federal preparedness assistance through grants, contracts, or other activities. The Secretary shall develop standards and guidelines for determining whether a State or local entity has adopted the NIMS.

### ***IX. Annexes***

- A. Annexes will contain supplemental information relevant to selected portions of the NRP. They will facilitate the implementation of activities in support of domestic incident management by describing:
  1. Each of the domains in detail, to include the continuous nature of the process or cycle (systemic); the deliberate time-sensitive activities taken with respect to a threat or event (incident-specific); and the core processes by which both sets of activities will be managed;

2. Special functions that are managed by DHS in support of every contingency, which may include public affairs, congressional relations, private-sector liaison, and financial management;
3. Special coordination mechanisms, both classified and unclassified, pertaining to DHS's engagement with DOJ (including the FBI), DOD, and the Department of State; and
4. The National Incident Management System (NIMS).

B. Responsibilities for the development of NRP Annexes are outlined below.

1. Awareness: DHS-IAIP
2. Prevention: DHS-IAIP
3. Preparedness: DHS-BTS
4. Response: DHS-EPR
5. Recovery: DHS-EPR
6. Public Affairs: DHS-Public Affairs
7. Congressional Relations: DHS-Legislative Affairs
8. Private Sector Liaison: DHS-OPSL
9. State/Local Liaison: DHS-OSLGC
10. Financial Management: DHS-MGT
11. Special Coordination Mechanisms: Task Force Work Group
12. National Incident Management System (NIMS): Task Force Work Group



## APPENDIX A

### AGENCY RESPONSIBILITIES BY FUNCTIONAL AREA

**Tables 6.1-6.6** specify agency responsibilities by functional areas, functions, and tasks, as described in the Interim Concept of Operations.

Table 6.1—Agency Responsibilities by Functional Areas, Functions, and Tasks

Homeland Security Functional Responsibilities				
Functional Area	Functions	Primary Federal Agency	Support Agency	
Information/Intelligence and Warning	Manage HS Operations Center	DHS - IAIP	All Federal Agencies	
	Maintain continuous domestic situational awareness	DHS	DOD, DOJ, DOE, DOI, FAA, DIA	
	Monitor threats	DHS	All Federal Agencies	
	Receive, integrate, and disseminate significant incident reporting	DHS	All Federal Agencies	
	Collect domestic intelligence	DOJ-FBI	DCI	
	Collect foreign intelligence	DCI		
	Perform intelligence analysis	DOJ-FBI	DCI	
	Fuse and analyze information and intelligence from multiple sources	DOJ-FBI		
	Integrate terrorism threat intelligence	DCI		
	Conduct threat assessment	DOJ-FBI	DHS	
	Disseminate information and intelligence to all appropriate consumers	DCI		
	Provide threat warning (Administer HSAS)	DHS	All Federal Agencies	
Collect and disseminate weather information	DOC			
Collect and disseminate tsunami warning	DOC			
Collect and disseminate earthquake, volcano, landslide hazard information	DOI			
International Coordination			DHS-BTS, DHS-S&T, DOC, DOD, DOE, DOI, DOJ, DOT, HHS, DCI, Treasury, USDA	
	Coordinate international activities related to a domestic incident	DOS	DHS, DCI, DOJ-FBI, DOJ, DOD, DOC, Treasury, DOT, USDA, HHS, DOE	
	Cooperate with foreign counterparts on security measures	DOS	DHS, DOE, DOJ, DOD, DCI	
	Coordinate with foreign authorities to protect border infrastructure	DOS	DHS	
	Coordinate international incident management preparedness activities	DOS	DHS, DCI, DOJ, DOD, DOC, Treasury, DOT, USDA, HHS, DOE	
Terrorism Preparedness			DHS-IAIP, DHS-S&T, DHS-BTS, DHS-EPR, DOD, HHS, DOE, DOJ-FBI	
	Conduct Terrorism preparedness	DHS - BTS		
	Assist in terrorism preparedness planning	DHS - BTS	DOD, HHS, DOE, DOJ-FBI	
	Assist in the conduct of assessments	DHS - BTS	DOD, HHS, DOE, DOJ-FBI, DHS-USCG	
	Provide grants and programs for equipment acquisition	DHS - BTS	DOD, HHS, DOE	
	Conduct training courses across disciplines	DHS - BTS	DOD, HHS, DOE, DOJ-FBI	
	Conduct national exercise program	DHS - BTS	DOD, HHS, DOE, DOJ-FBI, DHS-USCG	
	Conduct evaluations programs	DHS - BTS	DOD, HHS, DOE	

Table 6.2—Agency Responsibilities by Functional Areas, Functions, and Tasks

Homeland Security Functional Responsibilities		
Functional Area	Functions	Primary Federal Agency Support Agency
Domestic Counter-Terrorism	Conduct counter-terrorist operations	DOJ - FBI
	Conduct domestic intelligence collection	DOJ - FBI
	Conduct tactical threat assessment	DOJ - FBI
	Detect criminal activity	DOJ - FBI
	Deter adversaries	DOJ - FBI
	Conduct tactical operations to disrupt, interdict, interrupt	DOJ - FBI
	Conduct maritime operations to disrupt, interdict, interrupt	DHS-USCG
	Conduct criminal investigation	DOJ - FBI
	Prosecute perpetrators	DOJ - FBI
	Conduct CBRNE countermeasures	DOJ - FBI
	Border & Transportation Security	Accomplish Border Security
Information exchange and intelligence sharing in support of border security operations		DHS-BTS
Conduct deterrence operations		DHS-BTS
Conduct heightened operations to interdict terrorists, terrorist weapons and other contraband crossing U.S. borders		DHS-BTS
Apprehend illegal aliens (maritime environment)		DHS-USCG
Apprehend illegal aliens (on US territory)		DHS-BTS
Enhance targeted detention/removal of immigration law violators		DOJ, DOL, USDA, DOS
Investigate customs and immigration violations		DHS-BTS
Prosecute customs/immigration violations		DHS-BTS
Coordinate with Federal, state, local, and international authorities to secure border infrastructure		DOJ
Train, exercise, equip, and evaluate		DOJ
Conduct contingency planning		DOS, HHS
Restore cross-border flow of commerce & trade		DOS, Treasury, DOC
Detention and Removal		DOJ
Accomplish Transportation Security	Assess vulnerability to U.S. border environments and transportation systems.	DOT, DHS-IAIP, DHS-S&T, DOE
	Design mechanisms to detect, deter, prevent and protect U.S. Transportation systems from criminal and terrorist threats	DOT, DHS-USCG
	Improve security at key access points	DOT, DHS-USCG
	Identify surge requirements	DOT, DHS-USCG
	Contingency planning	DOT, DHS-USCG
	Analyze Intel	DOT, DHS-USCG
	Conduct threat, risk, vulnerabilities, capability assessments	DOT, DHS-USCG
	Provide aviation security for passengers, baggage and cargo	DOT
	Provide Maritime and land security for passengers and cargo	DOT, DHS-USCG
	Protect maritime infrastructure	DOT
	Protect other transportation infrastructure	DOT

Table 6.3—Agency Responsibilities by Functional Areas, Functions, and Tasks

Homeland Security Functional Responsibilities		
Functional Area	Functions	Primary Federal Agency
Infrastructure Protection	Identify Critical Infrastructures and Key Assets	DHS-S&T, DHS-USCG, DOD, DOE, DOT, EPA, HHS, Treasury, USDA, USDA, USPS
		DOD, DOE, DOT, EPA, HHS, Treasury, USDA, USPS
		DOD, DOE, DOT, EPA, HHS, Treasury, USDA, USPS, DHS-USCG
		DOD, DOE, DOT, EPA, HHS, Treasury, USDA, USPS, DHS-USCG
		DOD, DOE, DOT, EPA, HHS, Treasury, USDA, USPS, DHS-USCG
		DOD, DOE, DOT, EPA, HHS, Treasury, USDA, USPS, DHS-USCG
		DOD, DOE, DOT, EPA, HHS, Treasury, USDA, USPS
		DOD, DOE, DOT, EPA, HHS, Treasury, USDA, USPS
		DOD, DOE, DOT, EPA, HHS, Treasury, USDA, USPS
		DOD, DOE, DOT, EPA, HHS, Treasury, USDA, USPS
		DOD, DOE, DOT, EPA, HHS, Treasury, USDA, USPS
		DOD, DOE, DOT, EPA, HHS, Treasury, USDA, USPS
		DOD, DOE, DOT, EPA, HHS, Treasury, USDA, USPS
		DOD, DOE, DOT, EPA, HHS, Treasury, USDA, USPS
		DOD, DOE, DOT, EPA, HHS, Treasury, USDA, USPS
Homeland Defense	Reduce Infrastructure Vulnerabilities Conduct Risk Assessments Conduct Vulnerability Assessments Identify specific vulnerabilities at critical sites Distribute criteria and methodologies for vulnerability assessments Coordinate Vulnerability Reduction Measures Detect, Identify, and Advise of Threats Recommend and Prioritize Protective and Support Measures Coordinate protective actions planning for critical infrastructure sites and systems (including National Security Events) Conduct and Integrate National-level Critical Infrastructure and Key Asset Protection Planning Provide guidance on developing infrastructure protection standards and best practices for site security, anti-terrorism awareness and preparedness Coordinate WMD detection and prevention programs for Infrastructure Protection Direct Infrastructure Protection Exercise and Evaluation Program	DHS-IAIP
		DHS-IAIP
		DHS-IAIP
		DHS-IAIP
		DHS-IAIP
		DHS-IAIP
		DHS-IAIP
		DHS-IAIP
		DHS-IAIP
		DHS-IAIP
		DHS-IAIP
		DHS-IAIP
		DHS-IAIP
		DHS-IAIP
		DHS-IAIP
Homeland Defense	Provide airspace defense Monitor airspace Command & Control Defense Airspace resources Conduct maritime defense operations Provide Military Support to Civil Authorities Protect critical national sites or installations	DOD
		DOD
		DOD
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		DOD

Table 6.4—Agency Responsibilities by Functional Areas, Functions, and Tasks

Homeland Security Functional Responsibilities		
Functional Area	Functions	Primary Federal Agency
		Support Agency
<b>Emergency Management</b>	<b>Accomplish Hazard Mitigation activities</b>	DHS-EPR
	Provide grant and technical assistance to reduce disaster impacts	DHS-EPR
	Provide risk management and technical assistance for mitigation	DHS-EPR
	Incorporate mitigation into all disaster recovery and reconstruction efforts	DHS-EPR
	<b>Accomplish Emergency Preparedness activities</b>	DHS-EPR
	Develop state & local planning guidance	DHS-EPR
	Assess Federal, state, local preparedness capabilities	DHS-EPR
	Provide grants for enhancing state/local capability	DHS-EPR
	Conduct training & exercise program	DHS-EPR
	<b>Conduct emergency response operations</b>	
	Manage overall response operation	DHS-EPR
	Provide / coordinate transportation services	DHS-EPR
	Provide telecommunications support	DOT
	Accomplish remedial infrastructure restoration	DHS-EPR
	Manage & coordinate fire-fighting activities	DHS-EPR

Table 6.5—Agency Responsibilities by Functional Areas, Functions, and Tasks

Homeland Security Functional Responsibilities		
Functional Area	Functions	Primary Federal Agency
	Manage Incident information	DHS-EPR
	Provide Mass Care services	ARC
	Provide Resource (logistic) support	GSA
	Assess Medical & Health needs and provide care	HHS
	Provide Search & Rescue services	DHS
	Urban Search & Rescue	DHS-EPR
	Maritime Search and Rescue	DHS-USCG
	Respond to actual or potential discharges of hazardous materials	EPA
	Identify, secure, and arrange for food assistance	USDA
	<b>Conduct recovery operations</b>	
	Manage overall recovery effort	DHS-EPR
	Coordinate long-term recovery strategy	DHS-EPR
	Restore Infrastructure & Utilities - Public Facilities	DHS-EPR
	Provide assistance to businesses	DHS-EPR
	Provide assistance to individuals and households	DHS-EPR
	Provide management assistance for wildland fire fighting	DHS-EPR
<b>Law Enforcement - General</b>		
	<b>Perform crowd/riot control</b>	DOJ
	<b>Perform access control/site security</b>	DOJ
		DOJ
		DHS-BTS, DHS-USCG, DHS-USSS
		DHS-BTS, DHS-USSS
		DHS-USCG, USDA, DOC, DOD, DOE, HHS, DOI, DOJ, DOL, DOS, DOT, NRC, HUD
		DOD, HHS, ARC, EPA, GSA
		USDA, VOLAG's, DOC, DOD, DOE, HHS, FDIC, GSA, HUD, DOI, DOL, NRC, SBA, DOS, DOT, Treasury, DVA, CNS
		HUD, DOC, SBA, DOD, Treasury, USDA
		DOD, DOT, DOL, USDA, HUD, ED, DHS-IAIP
		DOC, SBA, USDA
		VOLAGs, DOL, Treasury, HUD, DOD, HHS, CNS
		DOL, USDA
		<b>DHS-BTS, DHS-USCG, DHS-USSS</b>
		DHS-BTS, DHS-USSS
		DHS-BTS, DHS-USCG, DHS-USSS

Table 6.6—Agency Responsibilities by Functional Areas, Functions, and Tasks

Homeland Security Functional Responsibilities		
Functional Area	Functions	Primary Federal Agency
Functional Area	Functions	Support Agency
CBRNE Hazards		DHS-EPR, DHS-IAIP, DHS-S&T, DHS-USCG, DOC, DOD, DOE, DOI, DOJ, DOL, DOS, DOT, DVA, EPA, DOJ-FBI, GSA, HHS, HUD, NASA, NIH, NRC, USDA
	Accomplish Chemical/Oil hazard contingency planning	DHS - EPR
	Conduct Chemical/Oil hazard response/recovery operations (terrestrial)	EPA
	Conduct Chemical/Oil hazard response/recovery operations (maritime)	EPA
	Accomplish Biological hazard contingency planning	DHS-USCG
	Biological Hazard - Human Health	DHS-EPR
	Biological Hazard - Animal and Plant Health	HHS
	Conduct Biological hazard response/recovery operations	USDA
	Biological Hazard - Human Health	DHS-EPR
	Biological Hazard - Animal and Plant Health	HHS
	Accomplish Radiological hazard contingency planning	USDA
	- depending on ownership of facility:	DHS-S&T
	Nuclear Facility	NRC
	Transportation of Radioactive Materials	NRC
	Satellite containing radioactive material	NASA
Unknown Source	EPA	
Conduct Radiological hazard response/recovery operations	NRC	
- depending on ownership of facility:		
Nuclear Facility	NRC	
Transportation of Radioactive Materials	NRC	
Satellite containing radioactive material	NASA	
Unknown Source	EPA	
Accomplish Nuclear hazard contingency planning	NRC	
Conduct Nuclear hazard response/recovery operations	NRC	

## **APPENDIX B**

### **INITIAL GLOSSARY OF KEY TERMS**

For the purposes of the NRP, the following terms and definitions apply:

*Contingency.* A planning construct that groups similar hazards and activities related to incidents that may occur in the future in a manner that highlights the imperative to deal with them, and thus enables more effective planning.

*Domain.* A major grouping of activities related to the “life cycle” of a domestic incident. The five domains are awareness, prevention, preparedness, response, and recovery.

*Event.* A significant event or designated special event requiring security, such as inaugurations, State of the Union addresses, the Olympics, and international summit conferences.

*Functional area.* A major grouping of the functions and tasks that agencies perform in carrying out awareness, prevention, preparedness, response, and recovery activities.

*Hazard.* Something that is potentially dangerous or harmful, often the root cause of an unwanted outcome.

*Homeland Security Presidential Directive-5 (HSPD-5).* A Presidential directive issued on February 28, 2003 and intended to enhance the ability of the United States to manage domestic incidents by establishing a single, comprehensive national incident management system.

*Incident.* An actual occurrence in which hazards or threats result in a harmful, dangerous, or otherwise unwanted outcome.

*Local government.* A county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (regardless of whether the council of governments is incorporated as a nonprofit corporation under State law), regional or interstate government entity, or agency or instrumentality of a local government; an Indian tribe or authorized tribal organization, or in Alaska a Native village or Alaska Regional Native Corporation; a rural community, unincorporated town or village, or other public entity. (As defined in Section 2 (10) of the Homeland Security Act of 2002, Pub. L. 107-296, 116 Stat. 2135, et seq. (2002).)



*National Incident Management System.* A system mandated by HSPD-5 that provides a consistent nationwide approach for Federal, State, and local governments to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity.

*National Response Plan.* A plan mandated by HSPD-5 that integrates Federal Government domestic awareness, prevention, preparedness, response, and recovery plans into one all-discipline, all-hazards plan.

*Primary Federal Agency.* A Federal department or agency with special expertise in a functional area that is designated by the Secretary of Homeland Security to manage operations in a specific functional area.

*Principal Federal Official.* The Federal official responsible for directing Federal operations in the United States to prepare for, respond to, and recover from domestic incidents; for directing the application of Federal resources in specific circumstances; and for managing any domestic incident when directed by the President. HSPD-5 designates the Secretary of Homeland Security as the Principal Federal Official for domestic incident management.

*State.* Any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States. (As defined in Section 2 (14) of the Homeland Security Act of 2002, Pub. L. 107-296, 116 Stat. 2135, et seq. (2002).)

*Supporting Agency.* A department or agency with special expertise in carrying out a specific function that is designated by the Secretary of Homeland Security to provide capabilities and resources under the management of a Primary Federal Agency.

*Threat.* An indication of possible violence, harm, or danger.