National Response Plan/ National Incident Management System

Briefing for Gilmore Commission

June 16-17, 2003

What Does HSPD-5 Require?

"To prevent, prepare for, respond to, and recover from terrorist attacks, major disasters, and other emergencies, the United States Government shall establish a single, comprehensive approach to domestic incident management."

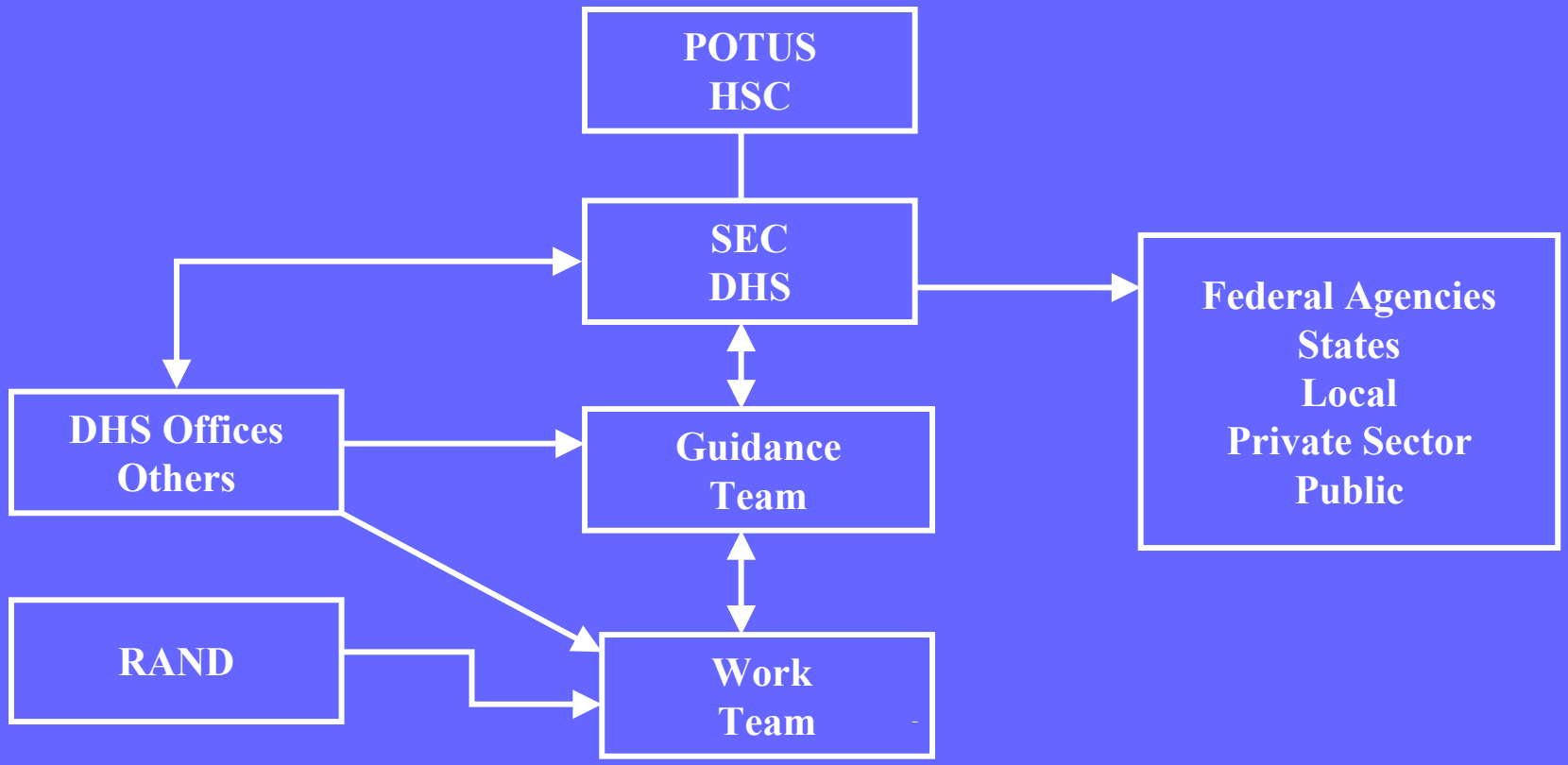
"The objective of the United States Government is to ensure that all levels of government across the nation have the capability to work efficiently and effectively together using a national approach to domestic incident management."

– February 2003

HSPD-5 Deliverables

- June 1 - NRP Initial Plan distributed
- July 1 - Initial NIMS distributed
- August 1 - Comments/Agencies revise existing plans
- September 1 – Comments/Agencies provide strategies to implement NIMS
- September 1 - Secretary reviews authorities and provides recommendations to the President
- TBD-NRP and NIMS Implementation

NRP/NIMS Development Process



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- **Introduction**
  - **Mandate for Change**
  - **Purpose of the NRP**
  - **Scope of the NRP**
  - **Applicability**
- **Planning Assumptions & Considerations**
  - **Design Imperatives**
  - **Guiding Principles**
- "Life-Cycle" of Incident Management Activities
  - Awareness
  - Prevention
  - Preparedness
  - Response
  - Recovery
- Organization of the NRP
- Roles and Responsibilities
  - State & Local Government
  - Federal Government
  - Private Sector
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  - Interim Implementation
    - Guidelines
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    - Concept for Specific Contingencies
- Preliminary NIMS Framework
- Plan for Full Development & Implementation
  - Remaining Tasks
  - Additional Guidance
  - Long-Term Guidance
- Annexes

What's the Goal?

- Single comprehensive plan
  - New base plan - not umbrella plan
  - National – not just Federal
  - Merges crisis and consequence management
  - Answers question "who's in charge?"
- Life-cycle to include awareness, prevention and preparedness
- Contingency based
  - All hazards/All disciplines
- "Bridge" for transition
  - Concept of Operations
  - Secretary assigns agency responsibilities by Functional Area

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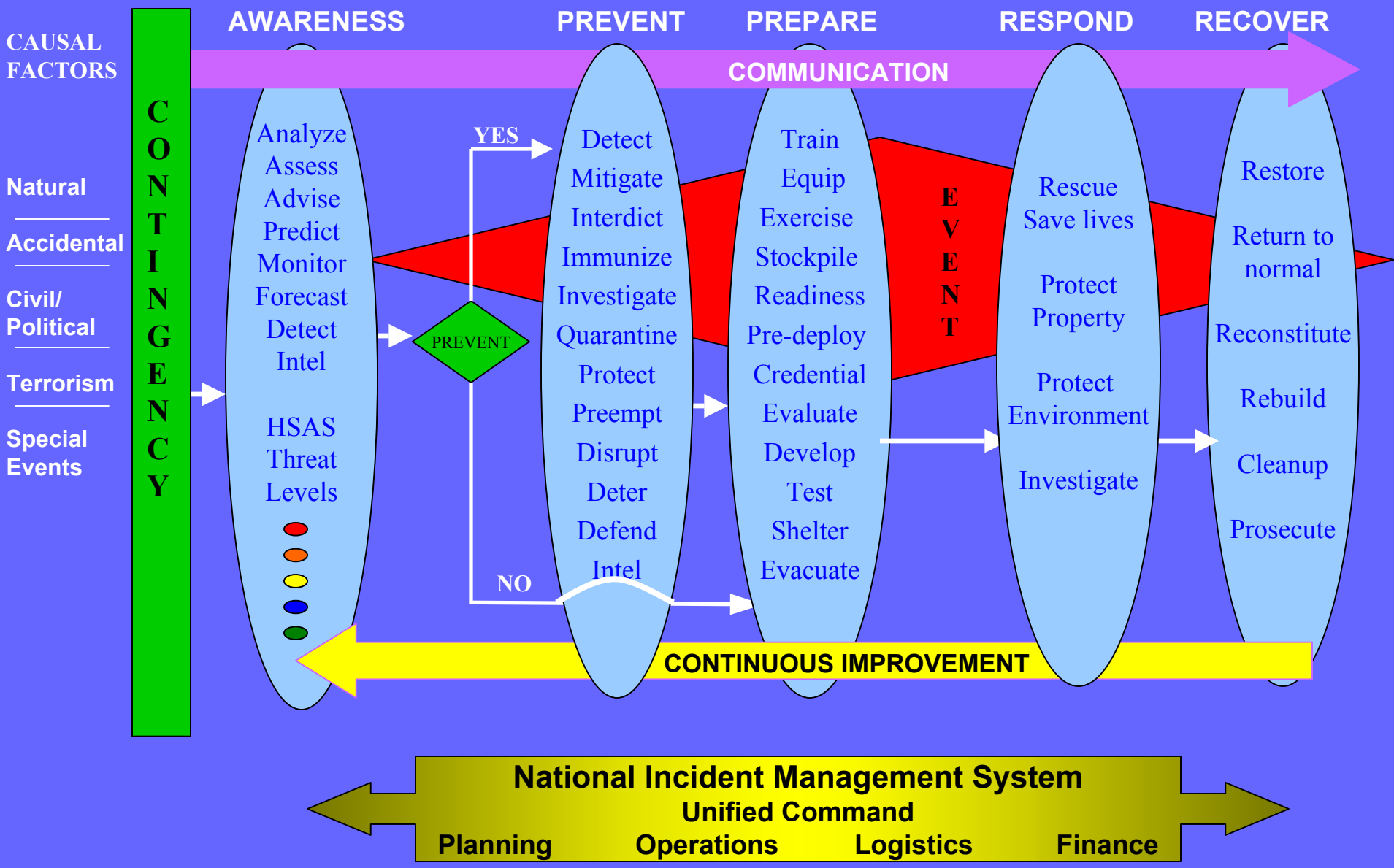
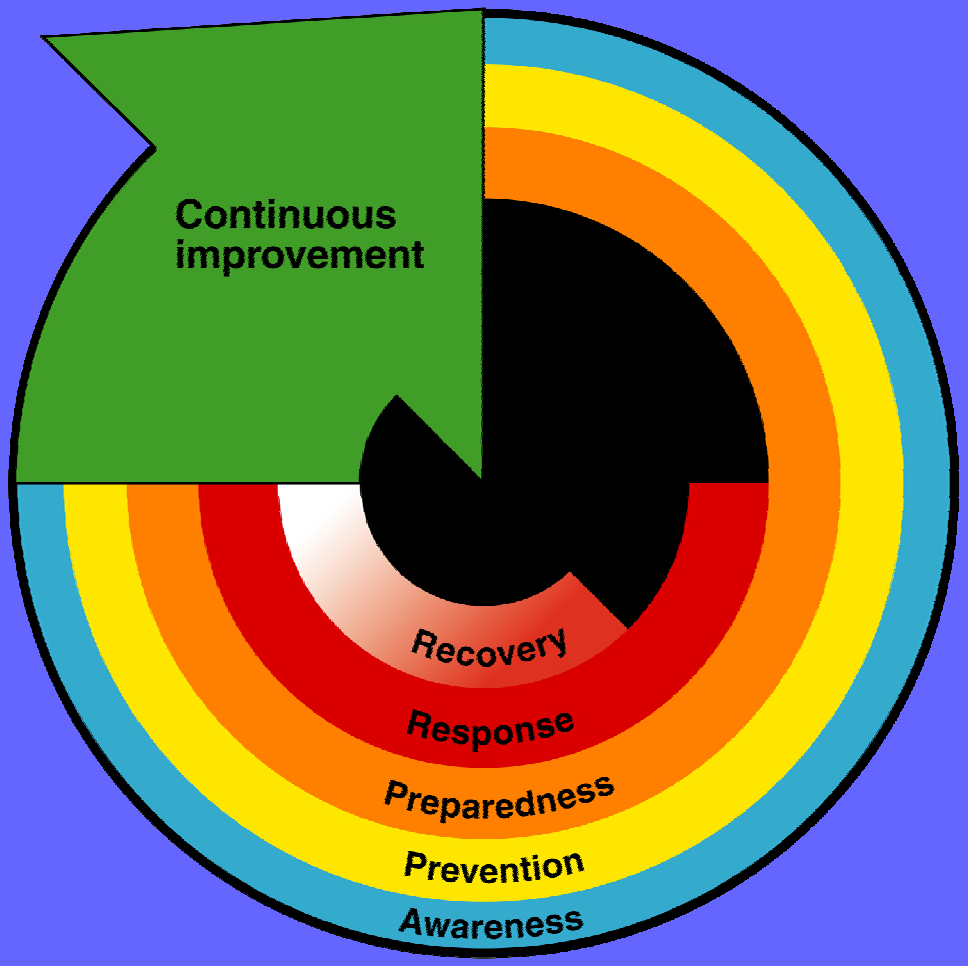
NRP Covers Entire Life-Cycle and Contingencies



Life-cycle is not Linear



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What are the Roles and Responsibilities?

- Secretary of Homeland Security – Principal Federal Official
  - Direction and Planning
  - Communications and Information
  - Training and Continuous Improvement
  - Incident Management
- Primary Federal Agency
  - Coordinate interagency effort to execute Functional Area responsibilities ***as assigned by the Secretary***
- Supporting Agency
  - Provide personnel, equipment or other resources in support of one or more functional areas

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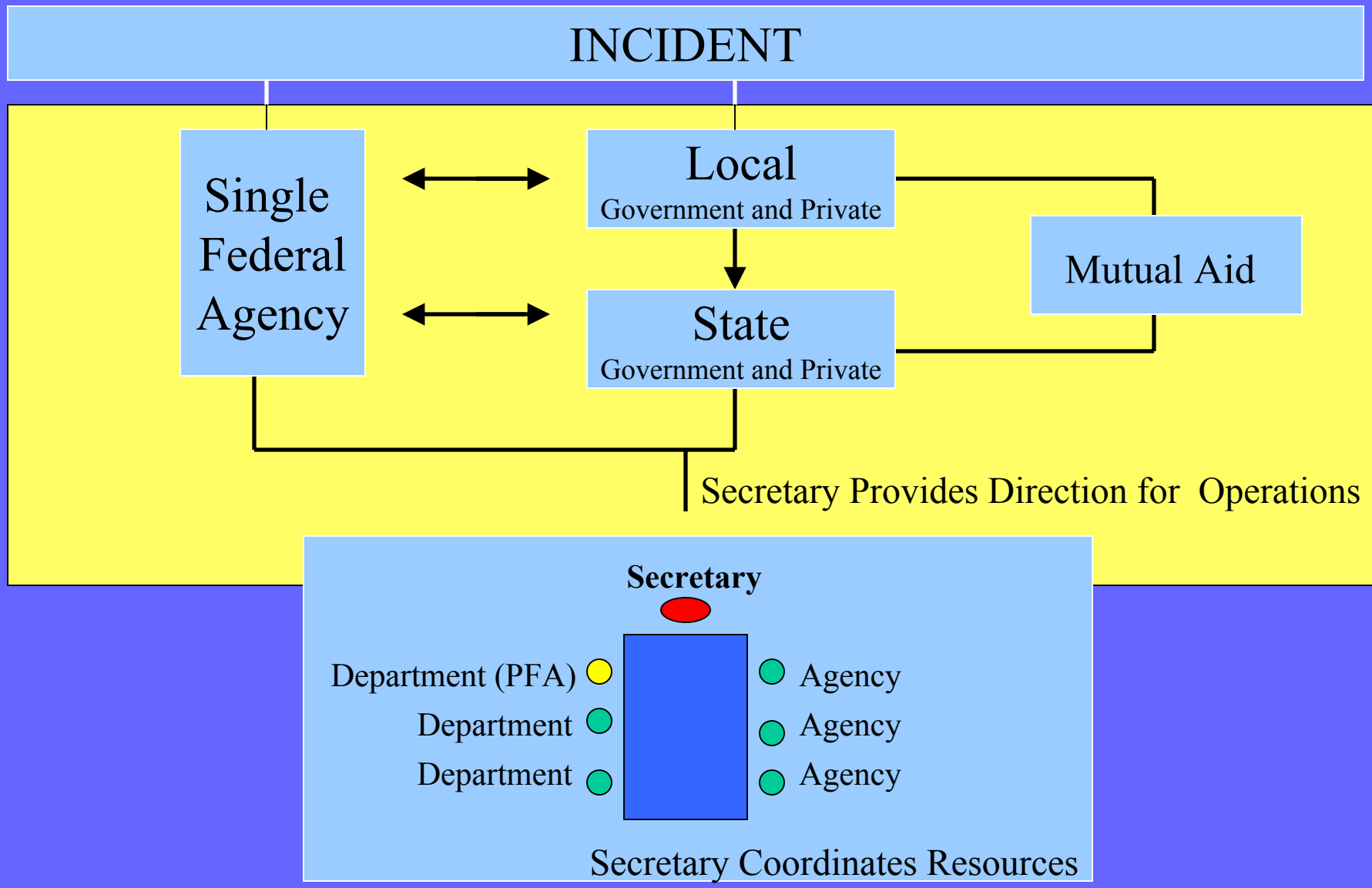
What Does the Secretary Do?

- **The Secretary of Homeland Security is responsible for providing direction for Federal *operations* in the United States to prepare for, respond to, and recover from terrorist attacks, major disasters, and other emergencies**
- **There are *thresholds* before the Secretary coordinates Federal *resources***:
  - A Federal department or agency acting under its own authority requests assistance;
  - The resources of State and local authorities have been overwhelmed *and* Federal assistance has been requested;
  - More than one Federal department or agency has become substantially involved in responding to an incident; or
  - The President directs the Secretary to assume responsibility for managing the domestic incident.
- **Specific situations require special coordination between DHS** and the**:**
  - **Attorney General (FBI)**;
  - **Secretary of Defens**e;
  - **Secretary of State**.

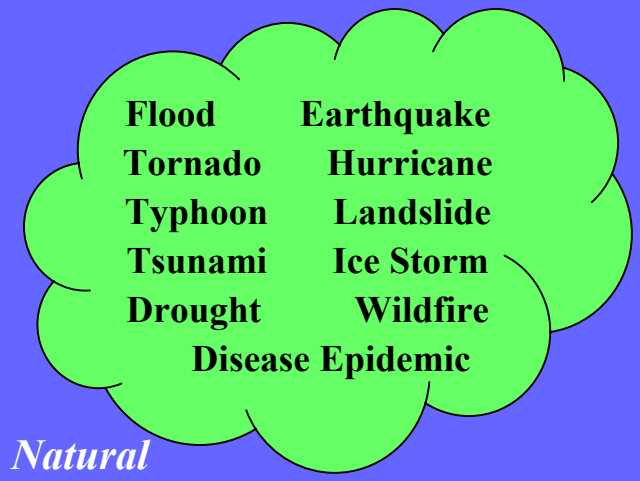
Concept of Operations



How Will We Operate Today?

- Except as noted, existing procedures in Federal plans remain in effect
- Secretary will:
  - Designate a single Operations Center as focal point for national awareness
  - Establish reporting requirements
  - Appoint Federal incident management official(s)
  - Establish an interagency coordinating body
  - Manage incidents involving multiple PFA or regions
- Federal regional interagency structures will coordinate awareness, prevention, preparedness, and incident management activities
- Pre-declaration activities may be performed using Federal agency funding
- Plan assigns Primary Federal Agency responsibilities by contingency and Functional Area

Responsibilities are "Contingency" based



Natural

Terrorist / Criminal

CBRNE Attack

Cyber Attack

Other Terrorism

Strike

Protest

Domestic Effects of War

Public Demonstration

Nation-State Attack

Civil Disturbance

Mass Migration

Civil / Political

Chemical Spill

Utility Outage

Transportation Accident

Industrial Accident

Radiological Incident

Nuclear Incident

Explosion

Accidental

Inaugural

State of the Union

Olympics

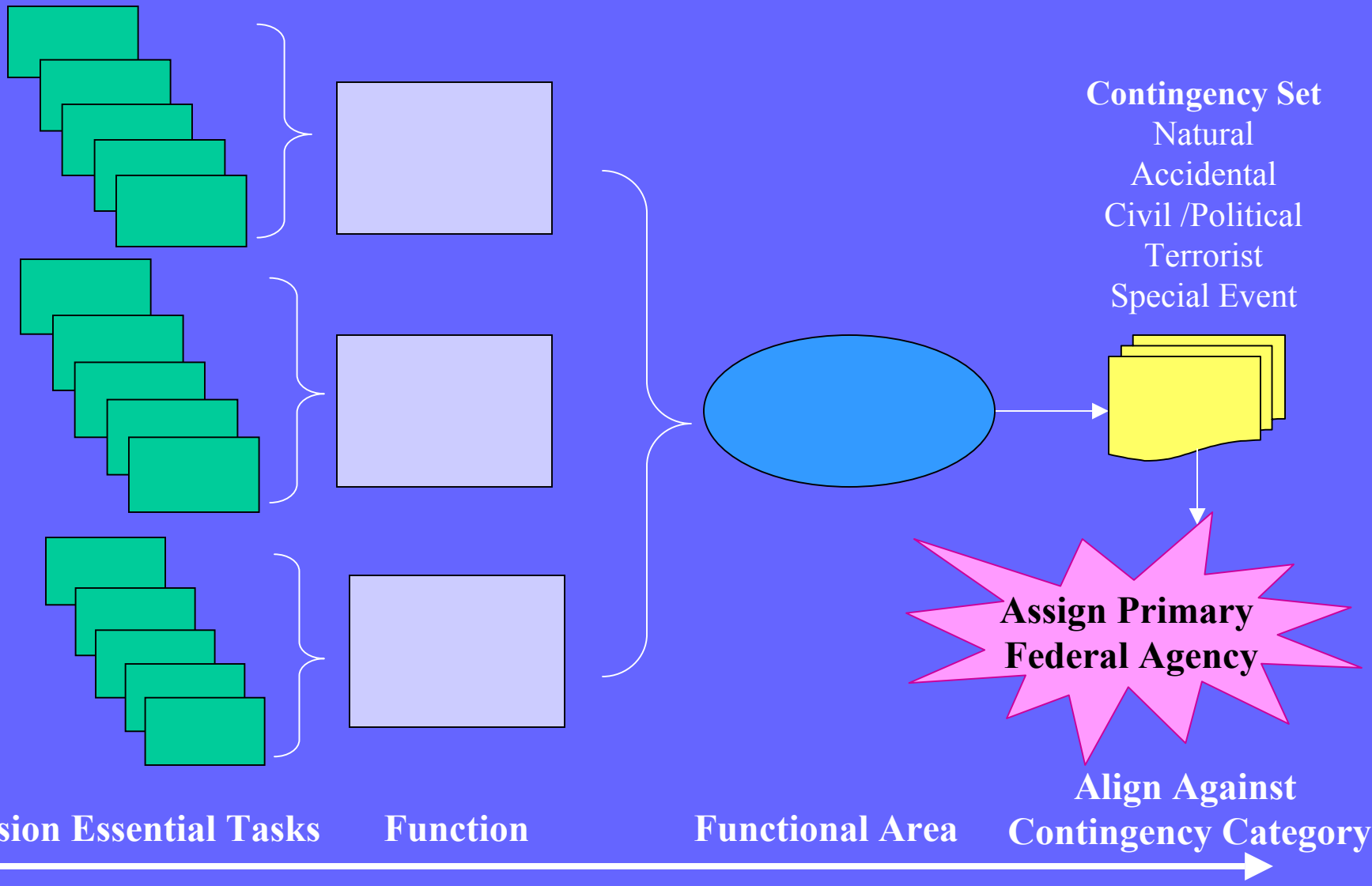
Major Sporting Event

Summit Conference

Special Event / Special Security Event

Not all inclusive – but representing preponderance of actual and potential incidents inside the United States

How Were Responsibilities Assigned?



Responsibilities Span the Life-Cycle

NATURAL DISASTERS					
SECRETARY'S ROLES	**AWARENESS**	**PREVENTION**	**PREPAREDNESS**	**RESPONSE**	**RECOVERY**
COORDINATION AND PLANNING					
COMMUNICATIONS AND INFORMATION					
TRAINING AND 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	State		State	State	State
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

Who are the Primary Federal Agencies?

Functional Area	PFA
Information, Intelligence and Warning	DHS-IAIP
International Coordination	DOS
Terrorism Preparedness	DHS-BTS
Domestic Counter-Terrorism	DOJ (FBI)
Border & Transportation Security	DHS-BTS
Infrastructure Protection	DHS-IAIP
Homeland Defense	DOD
Emergency Management	DHS-EPR
Law Enforcement	DOJ
CBRNE Hazards	DHS-EPR

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  - **Long-Term Guidance**
- **Annexes**

How Are We Moving to Full Implementation?

1 July

- Publish NIMS

1 August

- Receive comments on initial NRP
- Conform plans to NRP
    - Federal Agency Plans
    - Federal Interagency Plans
- Receive agency proposals for full development and implementation of Functional Area Plans

1 September

- Receive comments on initial NIMS
- Agency plans to implement NIMS
- Authorities review and recommendations by Secretary

How Are Existing Plans Revised?

The designated Primary Federal Agencies will coordinate the efforts of all Supporting Agencies, to develop an addendum to each existing Federal interagency plan. The document will refine coordinating structures to conform with the NRP and contain an interim Concept of Operation that supports the Secretary's role in domestic incident management.

- **Federal Response Plan (FRP): DHS-EPR**
- **Domestic Terrorism Concept of Operations Plan (CONPLAN): DOJ (FBI)**
- **Federal Radiological Emergency Response Plan (FRERP): DHS-EPR**
- **Mass Migration Emergency Plan (*Distant Shore*): DHS-BTS**
- **National Oil Spill and Hazardous Substances Pollution Contingency Plan (NCP): DHS-EPR**

How Are Annexes Developed?

Annexes describe the Life-Cycle domains, special functions, unique coordination mechanisms, and the NIMS, and will be developed by the designated DHS components.

1 – **Awareness**: DHS-IAIP

2 – **Prevention**: DHS-IAIP

3 – **Preparedness**: DHS-BTS

4 – **Response**: DHS-EPR

5 – **Recovery**: DHS-EPR

6 – **Public Affairs**: DHS-PA

7 – **Congressional Relations**: DHS-LL

8 – **Private Sector Liaison**: DHS-OPSL

9 – **State/Local Liaison**: DHS-OSLGC

10 – **Financial Management**: DHS-MGT

11 – **Special Coordination Mechanisms**: TF Work Group

12 – **NIMS**: TF Work Group

The Work Group will Ensure Integration with…

- Federal, State, local and private sector partners
- Design of Regional structures
- Design of headquarters interagency coordinating mechanisms and CAT
- Authorities and funding review
- Proposal for HSPD-6 (preparedness plan)

Task Force Recommendations

- Recommended actions by the Secretary:
  - Designate single operations center & establish reporting requirements
  - Establish an Interagency coordinating body
  - Assign responsibility to DHS components for:
    - Revision of Federal interagency plans
    - Development of NRP Annexes
  - Assign PFA responsibilities for development of Functional Area Plans
  - Promulgate Initial National Response Plan
  - Establish proponency for maintenance of the plan

We Believe We've Met the NRP Goal

- ✓ Single comprehensive plan
  - New base plan - not umbrella plan
  - National – not just Federal
  - Merges crisis and consequence management
  - Answers question "who's in charge?"
- ✓ Life-cycle to include awareness, prevention and preparedness
- ✓ Contingency based
  - All hazards/All disciplines
- ✓ "Bridge" for transition
  - Concept of Operations
  - Secretary assigns agency responsibilities by Functional Area

NIMS Development

HSPD-5/NRP Requirements for NIMS

- Consistent national approach in preparation for, response to, and recovery from domestic incidents
- Core set of principles:
  - 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
  - Collection, tracking, and reporting of incident information and incident resources
- Applicable across full spectrum of domains

HSPD-5, NIIMS, and NIMS

HSPD-5

- ICS
- Unified Command
- ID &Mngmnt of Resources
- MACS
- Resource Tracking
- Training
- Quals and Certifications
- Collection, Tracking & Reporting of Incident info

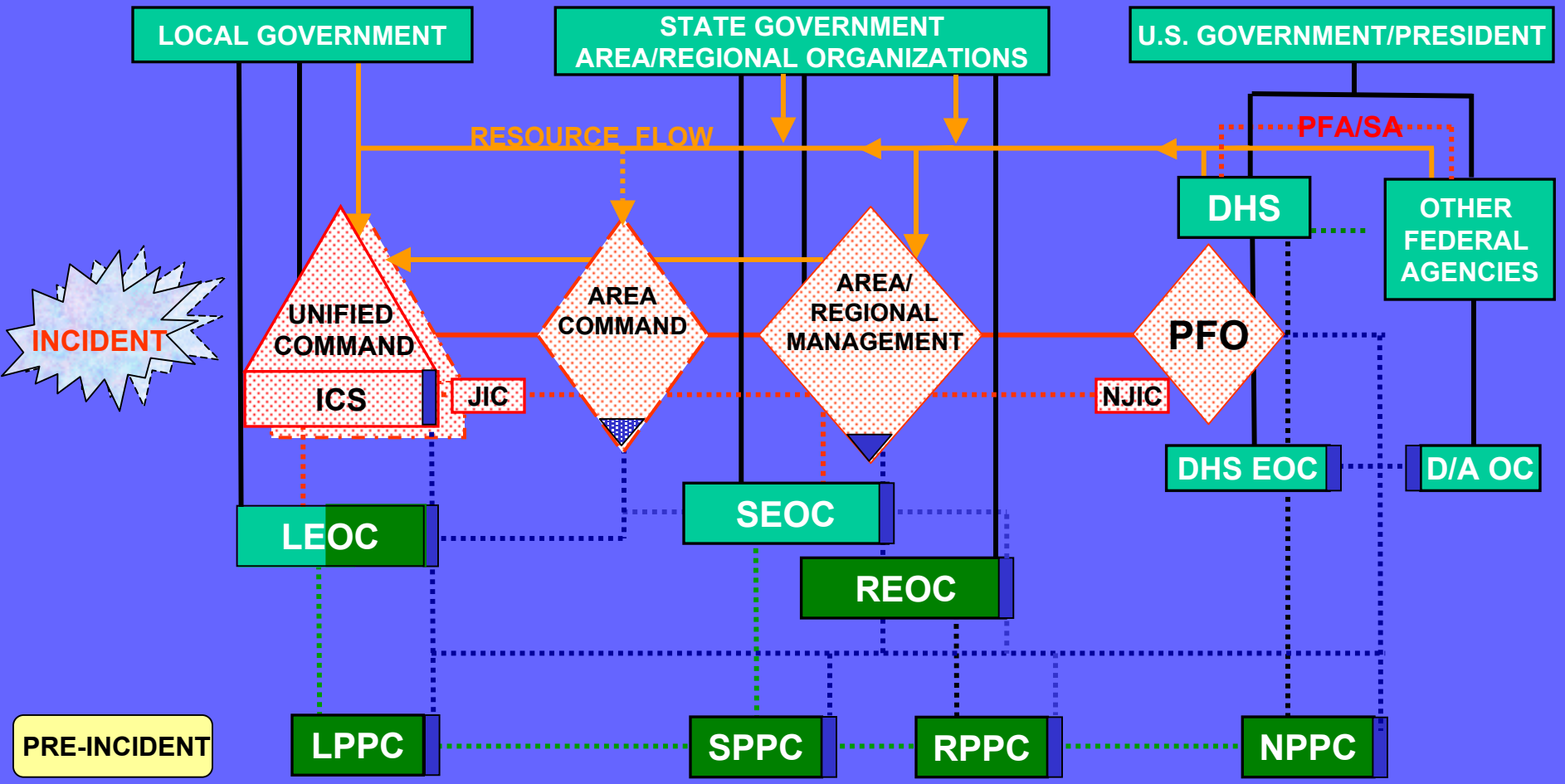
NIIMS

- Incident Mngmnt
  - ICS
  - Unified Command
  - MACS
- Training
- Quals and Certifications
- Publication Management
- Support Technology

NIMS

- **Command & Incident Mngmnt**
  - ICS
  - Unified Command
  - MACS
- **Resource Mngmnt Systems**
  - Pre/Post Event
- **System Preparedness**
  - Training
  - Quals and Certs
  - Pub Mngmnt
- **Comms, Intel & Info Mngmnt**
  - Common Op Picture
- **Science & Technology**

BROAD VIEW OF NIMS



LPPC—Local Prevention & Preparedness Council
SPPC—State PPC
RPPC—Regional PPC
NPPC—National PPC
EOC—Local Emergency Operations Center
AEOC—Area EOC
SEOC—State EOC
REOC—Regional Emergency Ops Center

JIC—Joint Information Center (Local)
RJIC—Regional JIC
NJIC—National JIC

PFA—Primary Federal Agency
SA—Supporting Agency
PFO—Principal Federal Official

- Proposed new standing organizations
- Existing organizations
- Incident Specific organizations
- Intelligence and Info Management

Current NIMS Product Outline

Section

I. Introduction
- **Concepts**
- **Principles**
- **Common terminology**

II. System Overview
- How the components work
- Maintenance
- Ongoing management

III. System Components
- Command and Incident Management
- Resource Management System
- System Preparedness
- Communications, Intel, and Information Management
- Science and Technology

Each system component includes:

A. Major structures

B. Description

C. Responsibilities

D. How it functions at each level

E. Interrelationships with other components

F. Scenario example

Back-up Slides

DHS Engagement

- **The Secretary of Homeland Security is responsible for coordinating Federal *operations* in the United States to prepare for, respond to, and recover from terrorist attacks, major disasters, and other emergencies**
- **There are *thresholds* before the Secretary coordinates Federal *resources*:**
  - A Federal department or agency acting under its own authority requests assistance;
  - The resources of State and local authorities have been overwhelmed *and* Federal assistance has been requested;
  - More than one Federal department or agency has become substantially involved in responding to an incident; or
  - The President directs the Secretary to assume responsibility for managing the domestic incident.
- **Specific incidents require special coordination between DHS and:**
  - **Attorney General, FBI.** When law enforcement activities are required to detect, preempt, prevent, or disrupt terrorist attacks or to investigate terrorist threats or acts
  - **Secretary of Defense**. When DOD forces or resources are required for domestic incident response
  - **Secretary of State**. When international activities are required to assist in prevention, preparation, response, or recovery from a domestic incident.

What Does HSPD-5 Require?

"To prevent, prepare for, respond to, and recover from terrorist attacks, major disasters, and other emergencies, the United States Government shall establish a single, comprehensive approach to domestic incident management."

"The objective of the United States Government is to ensure that all levels of government across the nation have the capability to work efficiently and effectively together using a national approach to domestic incident management."

– February 2003

What is the Mandate for Change?

- **Perception** of the threats faced by the U.S. has changed, based on a growing appreciation for the inherent dangers and complexity of those threats and the impact they can have on the American way of life.
- These **threats** cover a spectrum of contingencies that range from natural disasters and man-made hazards (accidental or intentional) to acts of terrorism.
- In contrast to natural disasters, some of the new threats can be addressed more effectively through **increased awareness and prevention**.
- As a result, a decision was made to make **prevention a priority**, to focus response as a cooperative national effort, and to **reduce the nation's vulnerability** over time.
- These factors led to the **creation of a new Department of Homeland Security** to unify our country's ability to prevent, prepare, respond and recover.

National Response Plan

Purpose

Establish a single, comprehensive, unified approach that integrates the Federal Government's domestic prevention, preparedness, response, and recovery activities into a single all-discipline, all-hazards plan. The goal is to ensure cooperation at all levels of government, integration with the private sector, and engagement with the public in order to bring the full range of the nation's capabilities to bear in protecting the homeland.

Planning Considerations
Guiding Principles

- **Fundamental Role of State & Local Government Authorities**
- **Importance of Effective Communication**
- **Primacy of Preventing Terrorism and Protecting Human Life**
- **Seamless Transition between Operations & Authorities**
- **Standardization of Systems, Procedures, & Communications**
- **Integration of Best Practices**
- **Need for Agile Incident Management Capability**
  - Scalable –
  - Modular
  - Flexible

Primary Federal Agency

Responsibilities

- **Develop strategies or plans for accomplishing missions** assigned by the Secretary. Plans will include activities necessary to anticipate, prevent, prepare for, respond to and recover from incidents.
- **Execute plans** as directed by the Secretary.
- **Conduct situational assessments** in assigned Functional Area.
- **Coordinate with Supporting Agencies to identify** the **resources** necessary to address Federal, State, or local operational requirements.
- **Coordinate interagency efforts to execute Functional Area Plans or deliver support** in designated functional areas.
- **Provide technical advice and assistance** to DHS, in its areas of expertise.

Supporting Agency
Responsibilities

- **Participate in the development of Functional Area Plans**.
- **Assist in conducting situational assessments**.
- **Furnish personnel, equipment, or other resource support** as requested by DHS or Primary Federal Agency.

Operational Reporting Requirements

- **Federal departments and agencies will report:**
  - The initiation of Federal agency plans to prevent, prepare for, or respond to an incident for which an agency has responsibility under law;
  - Submission of requests for assistance to or receipt of a request from another Federal agency; and
  - Receipt of requests for assistance from State or local governments, non-governmental organizations, or the private sector.
- **State and local governments are requested to report:**
  - The activation of Emergency Operation Centers (EOC)
  - Emergency declarations made under State or local authorities;
  - Activation of mutual-aid agreements or compacts; and
  - Domestic threats or incidents of more than local importance or media interest.
- **Private Sector is requested to report:**
  - Threats to critical infrastructure
  - Scheduled and unplanned interruptions in service

Interim Concept of Operations

Primary Federal Agency Responsibilities

In support of all domestic incidents, Primary Federal Agencies (PFA) are responsible for:

- Providing appropriate liaison and staffing at the operations centers involved in managing the incident, as well as representation on the Homeland Security coordinating body;
- Conducting situation assessments and developing incident management plans to guide preparation, response and recovery operations, the assignment of missions or tasks to SA(s) as necessary, and coordinate multi-agency activities during execution of the plan;
- Keeping the Department of Homeland Security, other PFA(s), and SA(s) informed of operational priorities and activities within the Functional Area; and
- Ensuring financial and property accountability for Functional Area activities.

Interim Concept of Operations

Supporting Agency Responsibilities

In support of all domestic incidents, Supporting Agencies (SA) are responsible for:

- Providing appropriate liaison and staffing at the operations centers involved in managing the incident , as well as representation on the Homeland Security coordinating body;
- Assisting in the conduct of situational assessments and assisting in the development of incident management plans, as requested by the PFA;
- Performing missions or tasks assigned by the PFA, and furnish personnel, equipment, or other resource support as requested by the PFA or the Department of Homeland Security. As necessary, reach-back to the parent agency for additional resources; and
- Providing status and resource-related information as requested by the PFA .

Interim Concept of Operations
State and Local Government Responsibilities

In support of all domestic incidents, State and local governments are responsible for:

- Conducting planning for awareness, prevention (where appropriate), preparation, response, and recovery activities for all hazards;
- Maintaining awareness and conducting prevention, preparation, response, and recovery activities as part of core responsibilities to maintain public order and safety;
- Activating local and State response organizations, and mutual aid agreements or compacts to address resource requirements that exceed capabilities; and
- Seeking Federal assistance to fill resource or capability shortfalls and to resolve issues outside of State or local purview.

Interim Concept of Operations
Natural Disasters

The Secretary of Homeland Security is responsible for:

- 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;
- Coordinating Federal operations to prepare for, respond to, and recover from major disasters;
- Designating a Primary Federal Agency to coordinate the activities of Supporting Agencies within each Functional Area to prepare for, respond to, and recover from major disasters;
- Receiving and making recommendations to the President concerning State requests for Federal assistance; and
- Obtaining, on behalf of Federal agencies, access to additional resources via emergency or disaster declarations;

- The coordinating structures outlined in the Federal Response Plan (FRP) will be used in the interim by the PFA(s) for coordinating preparation, response, and recovery activities for natural disasters.

Interim Concept of Operations
Accidents

The Secretary of Homeland Security is responsible for:

- Gathering information related to accident prevention, 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;
- Coordinating with 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;
- 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
- Ensuring that supporting technical plans for specific contingencies are periodically reviewed and updated as necessary.

The Primary Federal Agency (PFA) is responsible for:

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

Interim Concept of Operations
Accidents

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

- Notifying key local, State, and Federal agencies as soon as an incident occurs.
- Providing corporate resources to respond to and recover from a spill or release;
- Coordinating with local or State officials to identify resource shortfalls and issues that need to be elevated to higher levels for resolution; and

Coordinating Structures

- The coordinating structures and procedures outlined in the National Oil and Hazardous Substances Pollution Contingency Plan (NCP) will be used for incidents involving oil spills or hazardous material releases;
- The coordinating structures and procedures outlined in the Federal Radiological Emergency Response Plan (FRERP) will be used for incidents involving nuclear or radiological material; and
- The coordination structures and procedures outlined in the Federal Response Plan (FRP) will be used for any other type of accident.

Interim Concept of Operations
Civil / Political

The Secretary of Homeland Security is responsible for:

- Gathering information relevant to civil or political unrest and providing information to the public, the private sector, local and State authorities, Federal departments and agencies, and the President;
- 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 unrest; and
- Ensuring that plans are developed and that procedures are in place to mobilize resources required in areas of preeminent Federal authority.

The Primary Federal Agency (PFA) is responsible for:

- Developing plans and strategies to address incidents involving preeminent Federal authority.

Coordinating Structures:

- The coordination structures and procedures outlined in the Mass Migration Emergency Plan (*Distant Shore*) will be used for mass migration incidents; and
- 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.

Interim Concept of Operations
Terrorism

The Secretary of Homeland Security is responsible for:

- Coordinating Federal government resources used to support domestic counter-terrorism operations;
- Ensuring that the Attorney Guidelines has all of the resources necessary to conduct intelligence and law enforcement activities and criminal investigations;
- Gathering information related to domestic counter-terrorism preparedness, response, and recovery, and providing information to the public, the private sector, local and State authorities, Federal departments and agencies, and the President;
- Ensuring that plans are developed and resources are allocated to respond to or to recover from a terrorist attack;
- Ensuring that response and recovery plans are fully coordinated and synchronized with domestic counter-terrorism law enforcement activities;
- Participating in an interagency process to review and validate threat assessments; and
- Making recommendations concerning resources to be allocated in support of an incident.

Interim Concept of Operations

Terrorism

The Attorney Guidelines, as Primary Federal Agency for the domestic counter-terrorism Functional Area, is responsible for:

- Coordinating domestic intelligence collection activities;
- Coordinating activities of the law enforcement community to detect, prevent, preempt, or disrupt terrorist attacks; and
- Conducting the criminal investigation of terrorist threats or acts.

The Secretary of Defense is responsible for:

- Providing Military Support to Civil Authorities (MSCA) as requested by the PFA. The Secretary of Defense retains command of military forces.

The Secretary of State is responsible for:

- Coordinating international activities related to the prevention, preparation, response, and recovery from a domestic terrorism incident and for the protection of United States citizens and interests overseas.

Coordinating Structure:

- The coordination structures and procedures outlined in the existing CONPLAN will be used incidents related to threats or acts of domestic counter-terrorism

Interim Concept of Operations
Special Events

The Secretary of Homeland Security is responsible for:

- Coordinating with the Attorney Guidelines regarding the Federal government's efforts to plan for and support designated National Security Special Events (NSSEs);
- Participating in the decision-making process to designate NSSE(s);
- Identifying other special events that may require coordinated national planning;
- Chairing interagency groups to review resource requests to determine those that should be provided by Federal agencies;
- Ensuring that the Primary Federal Agencies have all of the resources necessary to conduct NSSE and other special event activities; and
- Ensuring that preparedness, response and recovery plans for special events are fully coordinated and synchronized with appropriate Primary Federal Agencies, Supporting Agencies, and local and State organizations.

Interim Concept of Operations
Special Events

Local and State authorities are responsible for:

- Coordinating requirements from the organization sponsoring an event; and
- Determining resource shortfalls and submitting resource requests, through the FEMA regions, to the national level for consideration.

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.