

# Quick Reference Guide

*for the National Response Plan*



Homeland  
Security

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# I. PLAN BASICS

## Scope and Applicability

### What is the National Response Plan?

As required by Homeland Security Presidential Directive (HSPD)-5, the National Response Plan (NRP) establishes a single, comprehensive approach to domestic incident management to prevent, prepare for, respond to, and recover from terrorist attacks, major disasters, and other emergencies. The NRP is an all-hazards plan built on the template of the National Incident Management System (NIMS). The NIMS provides a consistent doctrinal framework for incident management at all jurisdictional levels regardless of the cause, size, or complexity of the incident. The NRP, using the NIMS, provides the structure and mechanisms for national-level policy and operational direction for domestic incident management. The NRP can be partially or fully implemented in the context of a threat, anticipation of a significant event, or in response to an incident requiring a coordinated Federal response. This includes events with potential national or long-term implications such as a public health emergency or a cyber incident. Selective implementation through the activation of one or more of the NRP elements allows maximum flexibility to meet the unique operational and information-sharing requirements of any situation and enables effective interaction among various Federal, State, local, tribal, private-sector, and other nongovernmental entities.

### To whom does the National Response Plan apply?

The NRP applies to all incidents requiring a coordinated Federal response as part of an appropriate combination of Federal, State, local, tribal, private-sector, and nongovernmental entities. The NRP is applicable to all Federal departments and agencies that have primary jurisdiction for or participate in operations requiring a coordinated Federal response. The NRP also applies to the American Red Cross, which functions as an Emergency Support Function (ESF) primary organization in coordinating the use of mass care resources.

For incidents requiring a coordinated Federal response, but of lesser severity than an Incident of National Significance, the NRP includes a comprehensive network of Incident Annexes and supplemental Federal contingency plans that may be implemented by the Departments and Agencies with established authorities in coordination with the NRP framework.

### When is the NRP activated?

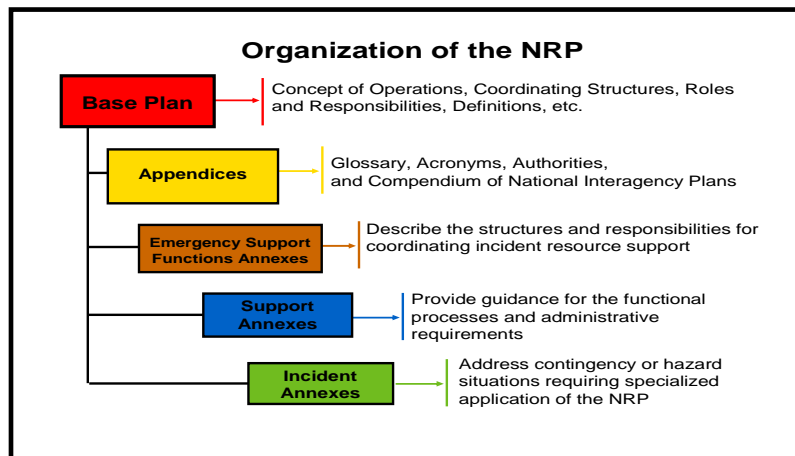
The NRP is always in effect; however, the implementation of NRP coordination mechanisms is flexible and scalable. Actions range in scope from ongoing situational reporting and analysis, through the implementation of NRP Incident Annexes and other supplemental Federal contingency plans, to full implementation of all relevant NRP coordination mechanisms outlined in the NRP Base Plan.

# Incidents of National Significance

## What is an Incident of National Significance?

An Incident of National Significance (INS) is an actual or potential high-impact event that requires robust coordination of the Federal response in order to save lives and minimize damage, and provide the basis for long-term community and economic recovery. The Secretary of Homeland Security, in consultation with other departments and agencies, and the White House, as appropriate, declares Incidents of National Significance. There are no automatic triggers for an Incident of National Significance. The Secretary of Homeland Security will consider the HSPD-5 criteria noted on page 4 of the NRP when making the determination to declare an Incident of National Significance but will also evaluate other factors in making a determination as to whether to declare an incident an Incident of National Significance. The Secretary of Homeland Security will manage the Federal government's response following the declaration of an Incident of National Significance.

## Plan Structure



## **II. ROLES AND RESPONSIBILITIES**

### **State, Local, and Tribal Authorities**

#### **What is the role of State, local and tribal governments in the National Response Plan?**

A basic premise of the NRP is that incidents are generally handled at the lowest jurisdictional level possible. The NRP includes a section that summarizes the roles and responsibilities of State, local, tribal, and private-sector entities in the context of domestic incident management. In the vast majority of incidents, State and local resources and interstate mutual aid will provide the first line of emergency response and incident management support. When State resources and capabilities are overwhelmed, Governors may request Federal assistance. The NRP provides the framework for Federal interaction with State, local, tribal, private-sector and nongovernmental entities in the context of domestic incident management to ensure timely and effective Federal support.

### **The Private Sector**

#### **What is the role of the private-sector in the National Response Plan?**

The NRP recognizes the private sector as a key partner in domestic incident management, particularly in the area of critical infrastructure protection and restoration. Private-sector entities are also called upon to contribute necessary items and services to the impacted area. These sources are important to aid in the life-saving and recovery efforts. The Department of Homeland Security (DHS) and other Federal departments and agencies coordinate with the private sector to effectively share information, formulate courses of action, and incorporate available resources to prevent, prepare for, respond to, and recover from incidents of various types. For coordination with the owners and operators of the nation's critical infrastructure, DHS and Federal agencies utilize the mechanisms established under the National Infrastructure Protection Plan (NIPP), including the Critical Infrastructure Protection Advisory Committee (CIPAC). Further, the Secretary of Homeland Security utilizes private-sector advisory groups with broad representation to provide advice on incident management and emergency response issues impacting their stakeholders. The NRP includes an annex on Private-Sector Coordination.

### **Federal Government**

#### **What is the role of the Federal Government in the National Response Plan?**

HSPD-5 assigns specific responsibilities to DHS and delineates the roles and responsibilities of certain other Federal departments.

### **Secretary of Homeland Security**

Pursuant to HSPD-5, the Secretary of Homeland Security is responsible for coordinating Federal resources within the United States to prepare for, respond to, and recover from terrorist attacks, major disasters, and other emergencies. HSPD-5 further designates the Secretary of Homeland Security as the “principal Federal official” for domestic incident management.

### **Attorney General**

The Attorney General has lead responsibility for criminal investigations of terrorist acts or terrorist 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 intelligence collection activities within the United States, subject to the National Security Act of 1947 and other applicable law, Executive Order 12333, and Attorney General-approved procedures pursuant to that Executive Order. Generally acting through the Federal Bureau of Investigation, the Attorney General, in cooperation with other Federal departments and agencies engaged in activities to protect our national security, shall also coordinate the activities of the other members of the law enforcement community to detect, prevent, preempt, and disrupt terrorist attacks against the United States.

### **Department of Defense**

The Department of Defense (DOD) has significant resources that may be available to support the Federal response to terrorist attacks, major disasters or other emergencies. The Secretary of Defense authorizes Defense Support of Civil Authorities (DSCA) for domestic incidents as directed by the President or when consistent with military readiness operations and appropriate under the circumstances and the law. The Secretary of Defense retains command of military forces providing civil support.

### **Department of State**

The Department of State has international coordination responsibilities. The Secretary of State is responsible for coordinating international prevention, preparedness, response, and recovery activities relating to domestic incidents, and for the protection of U.S. citizens and U.S. interests overseas.

## **III. CONCEPT OF OPERATIONS**

### **Linkages to Other Interagency Incident Management Plans**

The NRP, as the core operational plan for national incident management, also establishes national-level coordinating structures, processes, and protocols that will be incorporated into certain existing Federal interagency incident- or hazard-specific plans (such as the National Oil and Hazardous Substances Pollution Contingency Plan (NCP)) that are designed to implement the specific statutory authorities and responsibilities of various departments and agencies in particular contingency scenarios. These plans, which incorporate the coordinating structures and mechanisms of the NRP, provide detailed protocols for responding to incidents of lesser severity



normally managed by Federal agencies without the need for the Secretary of Homeland Security to manage the Federal response.

## **Relationship to NIMS and Local Incident Management**

### **How does the NRP relate to the National Incident Management System?**

The NRP and National Incident Management System (NIMS) are companion documents designed to improve the Nation's incident management capabilities and overall efficiency. The NIMS provides a template for incident management regardless of size, scope or cause. Use of this template enables Federal, State, local, and tribal governments and private-sector and nongovernmental organizations to work together effectively and efficiently to prevent, prepare for, respond to, and recover from actual or potential domestic incidents regardless of cause, size, or complexity. Together, the NRP and the NIMS integrate the capabilities and resources of various governmental jurisdictions, incident management and emergency response disciplines, non-governmental organizations, and the private sector into a cohesive, coordinated, and seamless national framework for domestic incident management.

### **Will the National Response Plan reduce or diminish the role of the local incident manager?**

The NRP is built upon the premise that incidents are typically handled at the lowest jurisdictional level. Nothing in this plan alters or impedes the ability of first responders to carry out their specific authorities or perform their responsibilities. The NRP facilitates coordination among tribal, local, State, and Federal governments and the private sector without impinging on any group's jurisdiction or restricting the ability of those entities to do their job.

### **What is the concept of Unified Command and how does it apply to the NRP?**

Unified Command is an application of the NIMS/Incident Command System (ICS) used when there is more than one agency with incident jurisdiction or when incidents cross political jurisdictions. Agencies work together through the designated members of the Unified Command to establish their designated Incident Commanders at a single Incident Command Post (ICP). In the Unified Command, entities develop a common set of objectives and strategies which provides the basis for a single Incident Action Plan (IAP). The structure for NRP coordination is based on the NIMS construct: ICS/Unified Command on-scene supported by an Area Command (if needed) and multiagency coordination entities. The Joint Field Office (JFO) provides resources in support of the Unified Command and Incident Command Post(s).

## **NRP Organizational Elements**

The NRP establishes multiagency coordinating structures at the field, regional, and headquarters levels. These structures integrate Federal, State, local, tribal, nongovernmental organization

This Quick Reference Guide does not supersede the NRP, as modified by the Notice of Change. If language in the Guide conflicts with the NRP, as modified by the Notice of Change, the structures and mechanisms of the NRP take precedence.

(NGO), and private-sector efforts and provide a national capability that addresses both site-specific incident management activities and broader regional or national issues, such as impacts to the rest of the country, immediate regional or national actions required to avert or prepare for potential subsequent events, and the management of multiple incidents.

**What are the NRP Headquarters organization elements and what are their functions?**

<b>Headquarters Element</b>	<b>Description</b>
<b>Domestic Readiness Group (DRG)</b>	The White House will convene the Domestic Readiness Group (DRG) on a regular basis to develop and coordinate implementation of preparedness and response policy and in anticipation of or during crises such as natural disasters and domestic terrorist attacks to address issues that cannot be resolved at lower levels and provide strategic policy direction for the Federal response. The DRG can also be convened at any time at the request of one of its members.
<b>Incident Advisory Council (IAC)</b>	The IAC is a tailored group of senior Federal interagency representatives that adjudicates matters that cannot be resolved by the NOC-NRCC and provides strategic advice to the Secretary of Homeland Security during an actual or potential incident requiring Federal coordination. Activated at the discretion of the Secretary of Homeland Security, or his representative, the core group of the IAC includes representatives from Federal departments and agencies, DHS components, and other organizations as required. Affected States may be represented on the IAC either through the DHS Office of State and Local Government Coordination (OSLGC) or, if needed, through a State liaison to the IAC. For advice concerning affected critical infrastructures, the IAC may draw upon advice from the CIPAC.
<b>National Operations Center (NOC)</b>	<p>Linking key headquarters components, including the former Homeland Security Operations Center (HSOC), the NOC is comprised of five sub-elements: Interagency Watch, National Response Coordination Center, Information and Analysis Component, National Infrastructure Coordination Center, and Operational Planning Element.</p> <p><b><u>The NOC – Interagency Watch (NOC-Watch):</u></b> is a standing 24/7 interagency organization fusing law enforcement, national intelligence, emergency response, and private sector reporting. The NOC-Watch facilitates homeland security information-sharing and operational coordination with other Federal, State, local, tribal, and nongovernmental EOCs.</p> <p><b><u>National Response Coordination Center (NOC-NRCC):</u></b> The NOC-NRCC monitors potential or developing incidents and supports the efforts of regional and field components, including coordinating the preparedness of national-level emergency response teams and resources; in coordination with Regional Response Coordination Centers (RRCCs), initiating mission assignments or reimbursable agreements to activate other Federal departments and agencies; and activating and deploying national-level specialized teams. In addition, the NOC-NRCC resolves Federal resource support conflicts and other implementation issues forwarded by the JFO. Those issues that cannot be resolved by the NOC-NRCC are referred to the IAC. During an incident, the NOC-NRCC operates on a 24/7 basis or as required in coordination with other elements of the NOC.</p> <p><b><u>Intelligence and Analysis (NOC-I&amp;A):</u></b> I&amp;A is responsible for interagency intelligence collection requirements, analysis, production, and product dissemination for DHS. I&amp;A coordinates or disseminates homeland security threat warnings, advisory bulletins, and other information pertinent to national incident</p>

	<p>management to Federal, State, regional, local, and nongovernmental EOCs and incident management officials and relevant elements of the private sector.</p> <p><b><u>National Infrastructure Coordination Center (NOC-NICC):</u></b> The NOC-NICC monitors the Nation’s critical infrastructure and key resources (CI/KR) on an ongoing basis. During an incident, the NOC-NICC provides a coordinating forum to share information across infrastructure and key resources sectors through appropriate information-sharing entities such as the Information Sharing &amp; Analysis Centers and the Sector Coordinating Councils. To foster information sharing and coordination, private sector representatives from the CI/KR may provide information to the NOC-NICC.</p> <p><b><u>Interagency Planning Element (NOC-Planning):</u></b> NOC-Planning conducts strategic level operational incident management planning and coordination. NOC-Planning is responsible for strategic level operational planning, including coordinating response, recovery, and mitigation operational planning and interagency coordination with the NOC-NRCC; coordinating and sustaining Federal preparedness, prevention, and protection activities related to an Incident of National Significance or at the Secretary’s direction; and coordinating preparedness, prevention, and protection operations and resource allocation planning with the appropriate Federal departments and agencies, the NOC-NRCC, the RRCCs, and the JFO.</p>
<p><b>Strategic Information Operations Center (SIOC)</b></p>	<p>The FBI SIOC is the focal point and operational control center for all Federal intelligence, law enforcement, and investigative law enforcement activities related to domestic terrorist incidents or credible threats, including leading attribution investigations. The SIOC serves as an information clearinghouse to help collect, process, vet, and disseminate information relevant to law enforcement and criminal investigation efforts in a timely manner. The SIOC maintains direct connectivity with the NOC and IAC.</p>
<p><b>Principal Federal Official (PFO)</b></p>	<p>The PFO is the Federal official designated by the Secretary of Homeland Security to act as his/her representative locally to oversee, coordinate, and execute the Secretary’s incident management responsibilities under HSPD-5. In certain scenarios, a PFO may be pre-designated by the Secretary of Homeland Security to facilitate Federal domestic incident planning and coordination at the local level outside the context of a specific threat or incident. A PFO also may be designated in a pre-incident mode for a specific geographic area based on threat and other considerations. PFOs typically are not “dualhatted” with any other roles or responsibilities that could detract from their overall incident management responsibilities. The Secretary may, in other than terrorism incidents, choose to combine the roles of the PFO and Federal Coordinating Officer (FCO) in a single individual to help ensure synchronized Federal coordination. In the event of an incident with no clear geographic boundaries (e.g., a cyber incident), a national-level PFO may be designated to coordinate Federal response activities.</p>

## Field-Level or Regional Activities

Some incidents may be managed primarily using regional resources, with headquarters-level monitoring. In large-magnitude, high-visibility, and/or sensitive situations, a multiagency coordinating facility will be established within the vicinity of the incident to manage the delivery of Federal resources to the affected State(s).

### Regional Response Coordination Center (RRCC)

The RRCC is a standing facility operated by DHS/FEMA that coordinates regional response efforts, establishes Federal priorities, and implements local Federal program support until a JFO

is established in the field and/or other key DHS incident management officials can assume their NRP coordination responsibilities. The RRCC establishes communications with the affected State Emergency Operations Center (EOC) and the NOC-NRCC, coordinates deployment of the Emergency Response Team–Advance Element (ERT-A) to field locations, assesses damage information, develops situation reports, and issues initial mission assignments.

### **Joint Field Office (JFO)**

The JFO is a temporary Federal facility established locally to provide a central point for Federal, State, local, and tribal executives with

responsibility for incident oversight, direction, and/or assistance to effectively coordinate protection, prevention, preparedness, response, and recovery actions.

#### **Joint Field Office**

A temporary Federal facility established locally to provide a central point for Federal, State, local, and tribal executives with responsibility for incident oversight, direction, and/or assistance to effectively coordinate protection, prevention, preparedness, response, and recovery actions.

The JFO utilizes the scalable organizational structure of the NIMS in the context of both pre-incident and post-incident management activities. The JFO organization adapts to the magnitude and complexity of the situation at hand, and incorporates the NIMS principles regarding span of control and organizational structure by utilizing the Operations, Planning, Logistics, and Finance/Administration Sections. Although the JFO uses an ICS structure, the JFO does not manage on-scene operations. Instead, the JFO focuses on providing support to on-scene efforts and conducting broader support operations that may extend beyond the incident site.

When incidents impact multiple States or localities, multiple JFOs may be established. In these situations, one of the JFOs may be identified (typically in the most heavily impacted area) to serve as the primary JFO and provide strategic leadership and coordination for the overall incident management effort, as designated by the Secretary.

### **How is the Joint Field Office organized?**

The JFO organizational structure is built upon NIMS, but does not impede, supersede, or impact the ICP ICS command structure.

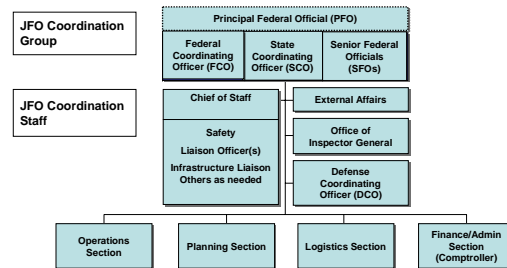


Figure 1. JFO Structure

## JFO Coordination Group

Utilizing the NIMS ICS principles of Unified Command, JFO activities are directed by a JFO Coordination Group, which may include the Principal Federal Official (PFO), Senior Federal Law Enforcement Official (SFLEO), FCO/Federal Resource Coordinator (FRC), or other Senior Federal Officials (SFOs) with primary jurisdictional responsibility or functional authority for the incident. It also includes a limited number of principal State, local, and tribal officials (such as the State Coordinating Officer (SCO)), as well as nongovernmental organization (NGO) and private-sector representatives. The JFO Coordination Group functions as a multiagency coordination entity and works jointly to establish priorities (single or multiple incidents) and associated resource allocation, resolve agency policy issues, and provide strategic guidance to support Federal incident management activities. Generally, the PFO, in consultation with the FCO and SFLEO, determines the composition of the JFO Coordination Group. The exact composition of the JFO depends on the nature and magnitude of the incident, and generally includes the personnel described in the following subsections.

- **Principal Federal Official (PFO)**

The PFO is personally designated by the Secretary of Homeland Security to facilitate Federal support to the established ICS Unified Command structure and to coordinate overall Federal incident management and assistance activities across the spectrum of prevention, preparedness, response, and recovery. The PFO ensures that incident management efforts are maximized through effective and efficient coordination.

The PFO provides a primary point of contact and situational awareness locally for the Secretary of Homeland Security. The Secretary is not restricted to DHS officials when selecting a PFO.

For a given incident, the Secretary may designate a local Federal official as an “initial PFO” until the primary PFO is in place. The initial PFO is accountable for the same responsibilities as the PFO. In certain scenarios, a PFO may be pre-designated by the Secretary of Homeland Security to facilitate Federal domestic incident planning and coordination at the local level outside the context of a specific threat or incident. A PFO also may be designated in a pre-incident mode for a specific geographic area based on threat and other considerations. In the



event of a single incident with national implications or in the case of multiple incidents, a national-level PFO may be designated to coordinate Federal response activities. The PFO may delegate duties to a Deputy PFO, the FCO, or other designated Federal official as appropriate after an event transitions to long-term recovery and/or cleanup operations.

DHS conducts a formal training program for PFO designates. Unless extenuating circumstances dictate otherwise, all PFO

designates should satisfactorily complete this training program prior to performing PFO-related responsibilities.

- **Federal Coordinating Officer (FCO)**

The FCO manages and coordinates Federal resource support activities related to Stafford Act disasters and emergencies. The FCO assists the Unified Command and/or the Area Command. The FCO works closely with the PFO, SFLEO, and other SFOs. In Stafford Act situations where a PFO has not been assigned, the FCO provides overall coordination for the Federal components of the JFO and works in partnership with the SCO to determine and satisfy State and local assistance requirements. During national or geographically widespread incidents such as a catastrophic hurricane impacting several adjacent states, the Secretary may, in other than terrorism incidents, choose to combine the roles of the PFO and FCO in a single individual to help ensure synchronized Federal coordination. In instances where the PFO has also been assigned the role of the FCO, deputy FCOs for the affected States will support the PFO/FCO.

- **Federal Resource Coordinator (FRC)**

In non-Stafford Act situations when a Federal department or agency acting under its own authority has requested the assistance of the Secretary of Homeland Security to obtain support from other Federal departments and agencies, DHS designates an FRC instead of an FCO. In these situations, the FRC coordinates support through interagency agreements and memoranda of understanding (MOUs).

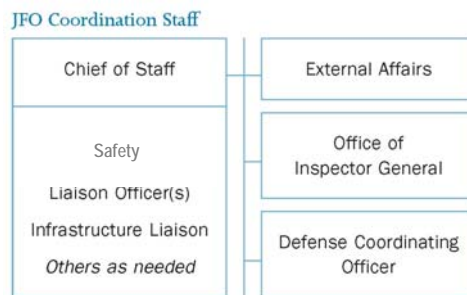
- **Senior Federal Officials (SFOs)**

The JFO Coordination Group may also include officials representing other Federal departments or agencies with primary statutory responsibility for certain aspects of incident management. SFOs utilize existing authorities, expertise, and capabilities to assist in management of the incident working in coordination with the PFO, FCO, SFLEO, and other members of the JFO Coordination Group. When appropriate, the JFO Coordination Group may also include U.S. Attorneys or other senior officials or their designees to provide expert legal counsel.

- **Senior Federal Law Enforcement Official (SFLEO)**  
The SFLEO is the senior law enforcement official from the agency with primary jurisdictional responsibility as directed by statute, Presidential directive, existing Federal policies, and/or the Attorney General. The SFLEO directs intelligence/investigative law enforcement operations related to the incident and supports the law enforcement component of the Unified Command on scene. In the event of a terrorist incident, this official will normally be the FBI SAC.
- **State/Local/Tribal Official(s)**  
The JFO Coordination Group also includes State representatives such as the SCO, who serves as the State counterpart to the FCO and manages the State’s incident management programs and activities, and the Governor’s Authorized Representative (GAR), who represents the Governor of the impacted State. The JFO Coordination Group may also include tribal and/or local area representatives with primary statutory authority for incident management.

### **JFO Coordination Staff**

In accordance with NIMS, the JFO structure normally includes a Coordination Staff. The JFO Coordination Group determines the extent of staffing based on the type and magnitude of the incident.



**Figure 2. JFO Coordination Staff**

- **Safety.**
  - The **Safety Coordinator** ensures that the Chief of Staff and the PFO receive coordinated, consistent, accurate, timely safety and health information and technical assistance to ensure the safety of the personnel in the JFO.
  - The **Worker Safety and Health Support Annex Coordinator** ensures the Chief of Staff and the PFO have consistent, accurate, and timely worker safety and health information for theatre-wide operations, and coordinates the delivery of Federal worker safety and health technical assistance and resources to federal, state and local responders.
- **Legal Affairs.** Serves as the primary legal advisor to the JFO Coordination Group and may also work with each section chief to support programmatic, logistical, and personnel matters as required.

- **Equal Rights Officer**. Serves to promote a discrimination-free workplace and equal access to recovery programs and benefits.
- **Security Officer**. Is responsible for safeguarding JFO personnel and JFO facility security. When not assigned elsewhere, the Security Officer also is responsible for information security and operational security, ensuring that sensitive information of all types (e.g., classified information, sensitive law enforcement information, proprietary and personal information, or export-controlled information) is handled in a way that not only safeguards the information but also ensures that it gets to those who need access to it so that they can effectively and safely conduct their missions.
- **Infrastructure Liaison**. Designated by DHS/Infrastructure Protection, serves as the principal advisor to the JFO Coordination Group regarding all national- and regional-level Critical Infrastructure/Key Resources (CI/KR) incident-related issues. The Infrastructure Liaison acts as liaison between the national- and regional-level CI/KR, the private sector, and JFO activities.
- **Defense Coordinating Officer (DCO)**  
If appointed by the Department of Defense (DOD), a Defense Coordinating Officer (DCO) serves as DOD's single point of contact at the JFO. With few exceptions, requests for Defense Support to Civil Authorities (DSCA) originating at the JFO are coordinated with and processed through the DCO. The DCO may have a Defense Coordinating Element (DCE) consisting of a staff and military liaison officers in order to facilitate coordination and support to activated Emergency Support Functions (ESFs).
- **External Affairs Officer**. The External Affairs Officer provides support to the JFO leadership in all functions involving communications with external audiences. External Affairs includes Public Affairs, Community Relations, Congressional Affairs, State and Local Coordination, Tribal Affairs, and International Affairs, when appropriate. Resources for the various External Affairs Functions are coordinated through ESF #15. (See the ESF #15 Annex for more information.) The External Affairs Officer also is responsible for overseeing operations of the Federal Joint Information Center (JIC) established to support the JFO.

### **Joint Information Center (JIC)**

The JIC is a physical location where public affairs professionals from agencies and organizations involved in incident management activities work together to provide critical emergency information, crisis communications, and public affairs support. The JIC may be established at an on-scene location in coordination with State and local agencies depending on the requirements of the incident or at the national-level if the situation warrants. The JIC develops, coordinates, and disseminates unified news releases. News releases are cleared through the JFO Coordination Group to ensure consistent messages, avoid release of conflicting information, and prevent negative impact on operations. This formal approval process for news releases ensures protection of law enforcement-sensitive information or other sensitive but unclassified information. Agencies may issue their own news releases related to their policies, procedures, programs, and capabilities; however, these should be coordinated with the JIC.



## JFO Sections

The JFO organization adapts to the magnitude and complexity of the situation, and incorporates the NIMS principles regarding span of control and organizational structure. This structure includes the following Sections: Operations, Planning, Logistics, and Finance and Administration. Although the JFO uses an ICS structure, the JFO does not manage on-scene operations. Rather, incidents are managed at the scene through the ICP.

**Operations Section.** The Operations Section coordinates operational support to on-scene incident management efforts. Branches may be added or deleted as required, depending on the nature of the incident. The Operations Section also is responsible for coordination with other Federal command posts that may be established to support incident management activities. For National Special Security Events (NSSEs), the Security Operations Branch may be added to coordinate protection and security efforts. During terrorist incidents, the FBI Joint Operations Center (JOC) is incorporated as the Law Enforcement Investigative Branch within the Operations Section. For all other events, a Law Enforcement Investigative Branch or Security Operations Branch may be established based on the specific requirements of the incident.

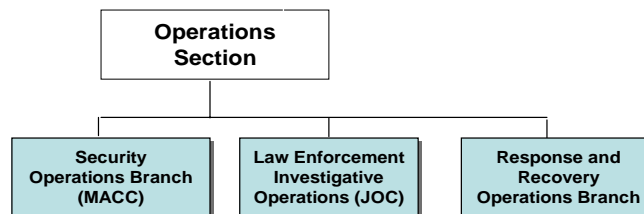


Figure 3. JFO Operations Section

**Planning Section.** The Planning Section provides current information to the JFO Coordination Group to ensure situational awareness, determine cascading effects, identify national implications, and determine specific areas of interest requiring long-term attention. The Planning Section also provides technical and scientific expertise. The Planning Section may also include a NOC representative who aids in the development of reports for the NOC and IAC.

**Logistics Section.** This section coordinates logistics support that includes: control and accountability for Federal supplies and equipment; resource ordering; delivery of equipment, supplies, and services to the JFO and other field locations; facility location, setup, space management, building services, and general facility operations; transportation coordination and fleet management services; and information and technology systems services, administrative services such as mail management and reproduction, and customer assistance.

**Finance and Administration Section (Comptroller).** The Finance and Administration Section is responsible for the financial management, monitoring, and tracking of all Federal costs relating to the incident and the functioning of the JFO while adhering to all Federal laws, acts, and regulations. The position of the Finance and Administration Chief will be exclusively held by a Comptroller who serves as the Senior Financial Advisor to the team leader (e.g., FCO) and represents the coordinating agency's Chief Financial Officer (CFO) as prescribed by the CFO Act of 1990.

## What are Emergency Support Functions (ESFs)?

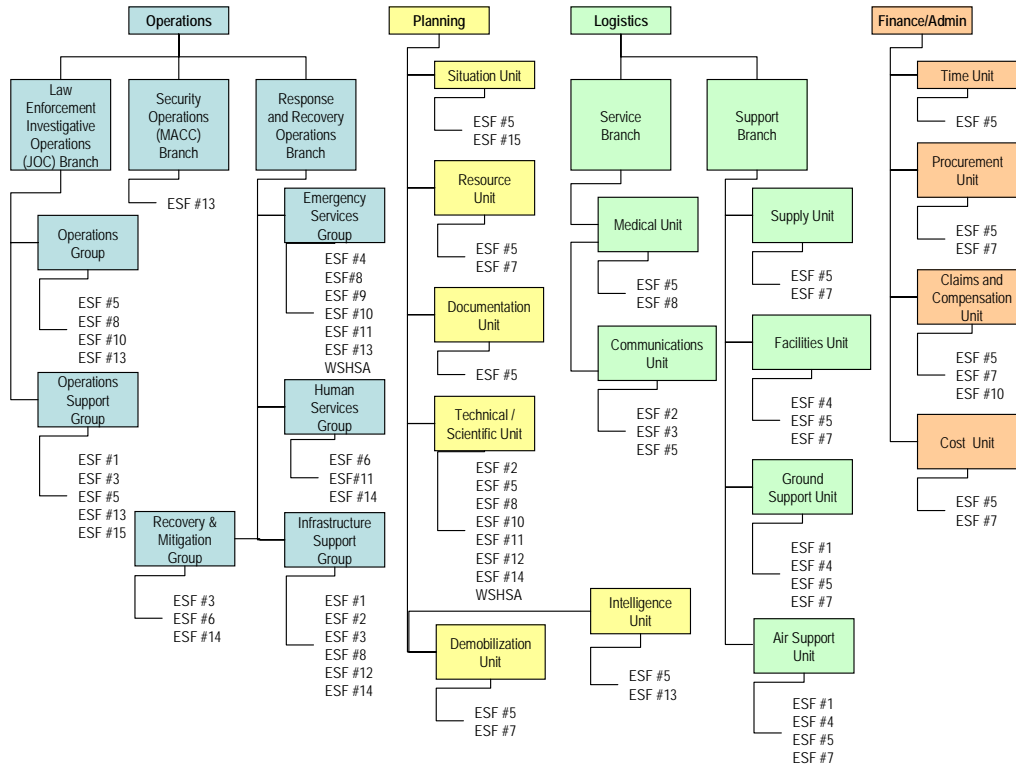
ESFs are the primary means through which the Federal government provides assistance to State, local, and tribal governments or to Federal departments and agencies conducting missions of primary Federal responsibility. ESFs were established in the Federal Response Plan and carried forward to the NRP (with the addition of ESFs #13, 14, and 15) as an effective mechanism to group capabilities and resources into the functions that are most likely needed during actual or potential incidents where coordinated Federal response is required (e.g., Transportation, Firefighting, Public Health, etc.). ESFs may be selectively activated for both Stafford Act and non-Stafford Act incidents by the Secretary of Homeland Security. ESFs may also be activated by the ESF Coordinators. The ESF structure provides a modular structure to identify the precise components that can best address the requirements of the incident. For example, a large-scale natural disaster or significant terrorist incident may require the activation of all ESFs. A localized flood or tornado might only require activation of a few ESFs.

**Figure 3. Emergency Support Functions Descriptions**

<b>ESF #1 - Transportation</b>	
<ul style="list-style-type: none"> <li>▪ Federal and civil transportation support</li> <li>▪ Transportation safety</li> <li>▪ Restoration/recovery of transportation infrastructure</li> <li>▪ Movement restrictions</li> <li>▪ Damage and impact assessment</li> </ul>	<p><b>ESF Coordinator:</b> U.S. Department of Transportation</p>
<b>ESF #2 - Communications</b>	
<ul style="list-style-type: none"> <li>▪ Coordination with telecommunications industry</li> <li>▪ Restoration/repair and temporary provisioning of communications infrastructure</li> <li>▪ Protection, restoration, and sustainment of national cyber and information technology resources</li> </ul>	<p><b>ESF Coordinator:</b> U.S. Department of Homeland Security / National Communications System</p>
<b>ESF #3 - Public Works and Engineering</b>	
<ul style="list-style-type: none"> <li>▪ Infrastructure protection and emergency repair</li> <li>▪ Infrastructure restoration</li> <li>▪ Engineering services, construction management</li> <li>▪ Critical infrastructure liaison</li> </ul>	<p><b>ESF Coordinator:</b> U.S. Department of Defense / U.S. Army Corps of Engineers</p>
<b>ESF #4 - Firefighting</b>	
<ul style="list-style-type: none"> <li>▪ Firefighting activities on Federal lands</li> <li>▪ Resource support to rural and urban firefighting operations</li> </ul>	<p><b>ESF Coordinator:</b> U.S. Department of Agriculture</p>
<b>ESF #5 - Emergency Management</b>	
<ul style="list-style-type: none"> <li>▪ Coordination of incident management efforts</li> <li>▪ Issuance of mission assignments</li> <li>▪ Resource and human capital</li> <li>▪ Incident action planning</li> <li>▪ Financial management</li> </ul>	<p><b>ESF Coordinator:</b> U.S. Department of Homeland Security / Federal Emergency Management Agency</p>
<b>ESF #6 - Mass Care, Housing, and Human Services</b>	
<ul style="list-style-type: none"> <li>▪ Mass care</li> <li>▪ Disaster housing</li> <li>▪ Human services</li> </ul>	<p><b>ESF Coordinator:</b> U.S. Department of Homeland Security / Federal Emergency Management Agency</p>
<b>ESF #7 - Resource Support</b>	
<ul style="list-style-type: none"> <li>▪ Resource support (facility space, office equipment &amp; supplies, contracting services, etc.)</li> </ul>	<p><b>ESF Coordinator:</b> U.S. General Services Administration</p>
<b>ESF #8 - Public Health and Medical Services</b>	
<ul style="list-style-type: none"> <li>▪ Public health</li> <li>▪ Medical</li> <li>▪ Mental health services</li> <li>▪ Mortuary services</li> </ul>	<p><b>ESF Coordinator:</b> U.S. Department of Health and Human Services</p>
<b>ESF #9 - Urban Search and Rescue</b>	
<ul style="list-style-type: none"> <li>▪ Life-saving assistance</li> <li>▪ Urban search and rescue</li> </ul>	<p><b>ESF Coordinator:</b> U.S. Department of Homeland Security / Federal Emergency Management Agency</p>

<b>ESF #10 - Oil and Hazardous Materials Response</b>	
<ul style="list-style-type: none"> <li>▪ Oil and hazardous materials (chemical, biological, radiological, etc.) response</li> <li>▪ Environmental safety and short- and long-term cleanup</li> </ul>	<b>ESF Coordinator:</b> U.S. Environmental Protection Agency
<b>ESF #11 - Agriculture and Natural Resources</b>	
<ul style="list-style-type: none"> <li>▪ Nutrition assistance</li> <li>▪ Animal and plant disease/pest response</li> <li>▪ Food safety and security</li> <li>▪ Natural and cultural resources and historic properties protection and restoration</li> </ul>	<b>ESF Coordinator:</b> U.S. Department of Agriculture
<b>ESF #12 - Energy</b>	
<ul style="list-style-type: none"> <li>▪ Energy infrastructure assessment, repair, and restoration</li> <li>▪ Energy industry utilities coordination</li> <li>▪ Energy forecast</li> </ul>	<b>ESF Coordinator:</b> U.S. Department of Energy
<b>ESF #13 - Public Safety and Security</b>	
<ul style="list-style-type: none"> <li>▪ Facility and resource security</li> <li>▪ Security planning and technical and resource assistance</li> <li>▪ Public safety/security support</li> <li>▪ Support to access, traffic, and crowd control</li> </ul>	<b>ESF Coordinator:</b> U.S. Department of Justice
<b>ESF #14 - Long-Term Community Recovery</b>	
<ul style="list-style-type: none"> <li>▪ Social and economic community impact assessment</li> <li>▪ Long-term community recovery assistance to States, local governments, and the private sector</li> <li>▪ Mitigation analysis and program implementation</li> </ul>	<b>ESF Coordinator:</b> U.S. Department of Homeland Security / Federal Emergency Management Agency
<b>ESF #15 - External Affairs</b>	
<ul style="list-style-type: none"> <li>▪ Emergency public information and protective action guidance</li> <li>▪ Media and community relations</li> <li>▪ Congressional and international affairs</li> <li>▪ Tribal and insular affairs</li> </ul>	<b>ESF Coordinator:</b> U.S. Department of Homeland Security

Based on the requirements of the incident, Federal Departments and Agencies that serve as ESF Coordinators execute their roles and responsibilities defined in the ESF Annexes, including providing the interagency staff to support operations of the NOC-NRCC, the RRCC, and the JFO. Depending on the incident, deployed elements of the ESFs may also participate in the staffing of the Incident Command Post (ICP); however, they more typically organizationally fall within the Operations Section of the JFO, and other sections as required. Under the NRP, each ESF is structured to provide optimal support of evolving incident management requirements.



**Figure 4. ESF Positioning in the JFO Sections**

(Note: This is a sample mapping; actual ESF resources will be requested based on the specific needs of the incident.)

## Emergency Response and Support Teams

<p><b>Emergency Response Teams</b></p>	<p>The RRCC initially deploys a DHS/FEMA-led Emergency Response Team – Advance Element (ERT-A), including rapid needs assessment personnel and appropriate ESF representatives, to State operating facilities and incident sites to assess the impact of the situation, collect damage information, gauge immediate Federal support requirements, and make preliminary arrangements to set up Federal field facilities.</p> <p>When regional resources are overextended, or an event poses potentially significant consequences, DHS Headquarters may deploy a National Emergency Response Team (ERT-N) to coordinate the initial response.</p>
<p><b>DHS Situational Awareness Team (DSAT)</b></p>	<p>The DHS Situational Awareness Team (DSAT) provides timely and accurate information to the Secretary and Departmental Leadership when directed by the Secretary. DSAT personnel are under the tasking authority of DHS Office of Operations and administrative control of DHS/ICE. The DSAT is an early entry capability and will report simultaneously to the NOC and PFO to ensure that the Secretary and PFO have early situational awareness.</p>
<p><b>Federal Incident Response Support Team (FIRST) Team</b></p>	<p>Based upon the nature of the incident, the FIRST may deploy to the scene to support State operations. The FIRST provides technical assistance to assess the situation, identify critical and unmet needs, provide protective</p>

	action recommendations, and establish incident support facilities. The FIRST coordinates with the ERT-A and integrates into the Operations Section of the JFO when established.
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## Other Federal Teams

In addition, there are numerous special teams available to support incident management and Domestic Readiness and recovery operations. Examples include:

- Damage assessment teams
- Nuclear Incident Response Team (NIRT)
- Disaster Medical Assistance Teams (DMATs)
- HHS Secretary’s Emergency Response Team
- DOL/OSHA’s Specialized Response Teams
- Veterinarian Medical Assistance Teams (VMATs)
- Disaster Mortuary Operational Response Teams (DMORTs)
- National Medical Response Teams (NMRTs)
- Scientific and Technical Advisory and Response Teams (STARTs)
- Donations Coordination Teams
- Urban Search and Rescue (US&R) task forces
- US&R Incident Support Teams
- Federal Type 1 and Type 2 Incident Management Teams (IMTs)
- Domestic Emergency Support Team (DEST)
- Domestic Animal and Wildlife Emergency Response Teams and mitigation assessment teams

## Other Incident Facilities

### How do other incident facilities fit into the NRP structure?

#### State, County, and Local Emergency Operations Centers (EOCs)

State, county, and local EOCs are the physical location at which the coordination of information and resources to support incident management activities normally takes place. EOCs are typically organized by major functional discipline (fire, law enforcement, medical services, etc.); by jurisdiction (city, county, region, etc.); or by some combination thereof.

State, county, and local EOCs facilitate the execution of local, State, and interstate mutual aid agreements to support on-scene operations. When activated, the JFO works in coordination with the State, county, and local EOCs to support incident management efforts.

#### Incident Command Post (ICP)

The tactical-level, on-scene incident command and management organization is located at the ICP. It is typically comprised of designated incident management officials and responders from Federal, State, local, and tribal agencies, as well as private-sector and nongovernmental organizations. When multiple command authorities are involved, the ICP may be led by a Unified Command, comprised of officials who have jurisdictional authority or functional responsibility for the incident under an appropriate law, ordinance, or agreement. The Unified

Command provides direct, on-scene control of tactical operations and utilizes a NIMS, typically including Operations, Planning, Logistics, and Finance/Administration Sections.

The ICP is usually located at or in the immediate vicinity of the incident site. The location is selected by the agency having primary jurisdictional authority for managing the incident at this level. Generally, there is one ICP established for each incident. Depending on the number and location of incidents, there may be multiple ICPs managed by an Area Command.

### **Area Command/Unified Area Command**

An Area Command is established to oversee the management of multiple incidents that are each being handled by a separate ICP or to oversee the management of a very large or complex incident that has multiple incident management teams engaged. The Area Command has the responsibility to set overall strategy and priorities, allocate critical resources according to priorities, ensure that incidents are properly managed, and ensure that objectives are met and strategies followed. Area Command becomes Unified Area Command when incidents are multijurisdictional.

### **Disaster Recovery Center (DRC)**

When established in coordination with State and local jurisdictions, a DRC is a satellite component of the JFO and provides a central facility where individuals affected by a disaster can obtain information on disaster recovery assistance programs from various Federal, State, local, tribal, private-sector, and voluntary organizations.

## **Proactive Federal Response**

### **How does the NRP deal with catastrophic events?**

The NRP establishes policies, procedures, and mechanisms for a proactive Federal response to catastrophic events. A catastrophic event is any natural or manmade incident, including terrorism, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions. A catastrophic event could result in sustained national impacts over a prolonged period of time; almost immediately exceeds resources normally available to State, local, tribal, and private-sector authorities in the impacted area; and significantly interrupts governmental operations and emergency services to such an extent that national security could be threatened. The Secretary will declare all catastrophic events as Incidents of National Significance.

### **How does the NRP establish policies and procedures for a proactive Federal response to catastrophic events?**

The NRP Catastrophic Incident Annex (NRP-CIA) and Catastrophic Incident Supplement (NRP-CIS) address resource and procedural implications of catastrophic events to ensure the rapid and efficient delivery of resources and assets, including special teams, equipment, and supplies that provide critical lifesaving support and incident containment capabilities. These assets may be so

specialized or costly that they are either not available or are in insufficient quantities in most localities. The Secretary of Homeland Security may choose to activate and deploy assets prior to or immediately following any incident, to include those with catastrophic ramifications. For no-notice or short notice catastrophic events when there is little or no time to assess the requirements of the State and local authorities, all Federal departments and agencies and the American Red Cross initiate actions to mobilize and deploy all resources as planned for in the NRP-CIS.

Agencies responsible for these assets will keep DHS apprised, through the NOC, of their ongoing status and location until the JFO is established. Upon arrival at the scene, Federal assets will coordinate with the Unified Command, the SFLEO, and the JFO (or its forward elements) when established. Demobilization processes, including full coordination with the JFO Coordination Group, are initiated either when the mission is completed or when it is determined the magnitude of the event does not warrant continued use of the asset.

## **Defense Support of Civil Authorities**

The Department of Defense (DOD) provides Defense Support of Civil Authorities (DSCA) in



response to requests for assistance during domestic incidents. DSCA refers to DOD support provided by Federal military forces, DOD civilians and contract personnel, and DOD agencies and components, in response to requests for assistance. In most instances, DOD provides DSCA in response to requests for assistance from a lead or primary agency. DSCA normally is provided when local, State, and Federal resources are overwhelmed, provided that it does not interfere with the Department's military readiness or operations. DOD typically provides DSCA on a reimbursable basis as

authorized by law. Based on the magnitude, type of incident, and anticipated level of resource involvement, the supported DOD combatant commander may utilize a Joint Task Force (JTF) to command Federal (Title 10) military activities in support of the incident. If a JTF is established, consistent with operational requirements, its command and control element will be collocated with the PFO at the Joint Field Office to ensure coordination and unity of effort. The collocation of the JTF command and control element does not replace the requirement for a DCO/DCE as part of the JFO Coordination Staff and it will not coordinate requests for assistance for DOD.

## **Federal Law Enforcement Assistance**

### **How is Federal Law Enforcement Assistance provided through the NRP?**

Each State has jurisdiction for enforcement of State law, using State and local resources, including the National Guard.

The Federal Government has jurisdiction for enforcement of Federal law, using Federal resources. State and local law enforcement agencies may be requested to provide support to Federal law enforcement during incidents.

Federal agencies may be requested to provide public safety and security support under the NRP. The ESF #13 Annex provides further guidance on the integration of public safety and security resources to support a Federal response.

## **Federal-to-Federal Support**

Federal-to-Federal support refers to the circumstance in which a Federal department or agency requests Federal resource support under the NRP that is not addressed by the Stafford Act or other mechanisms (e.g., Executive orders, MOUs, memoranda of agreement (MOAs), etc.). This support is coordinated by DHS using the multiagency coordination structures established in the NRP and in accordance with the NIMS. Federal agencies participating in the NRP will request and provide Federal-to-Federal support by executing interagency or intra-agency reimbursable agreements (RAs), in accordance with the Economy Act (31 U.S.C. § 1535) or other applicable authorities. Federal agencies providing mutual aid support may request reimbursement from the requesting agency for eligible expenditures. (See the NRP Financial Management Support Annex Attachment 3, Memorandum of Understanding: Mutual Aid for Incidents of National Significance (Non-Stafford Act), for additional information.) DHS will use the ESFs as the mechanism for coordinating required support from other agencies. When such DHS assistance is provided, DHS coordinates Federal resources under the authority provided in HSPD-5. In these situations, DHS designates an FRC to perform the resource coordination function (rather than an FCO as occurs under a Stafford Act declaration).



## **IV. PUTTING IT ALL TOGETHER**

### **The Incident Command Post (ICP)**

When an incident occurs, the appropriate jurisdictional authority (Federal, State, or local) designates a single Incident Commander with overall incident management responsibility. Most jurisdictions pre-designate their Incident Commanders in preparedness plans. The Incident Commander directs operations from the ICP.

### **The National Incident Management System (NIMS)/Incident Command System (ICS) Unified Command**

In many incidents (for example, during the response to a bombing that may have counterterrorism nexus), more than one Federal, State, or local agency will have jurisdiction. As a team effort, the agency Incident Commanders form a Unified Command that overcomes much of the inefficiency and duplication of effort that can occur when agencies from different functional and geographic jurisdictions, or agencies at different levels of government, operate without a common system or organizational framework.

At the ICP, the Unified Command develops the NIMS incident command organizational structure in a top-down, modular fashion based on the:

- Size and complexity of the incident
- Specifics of the hazard environment created by the incident

Federal agencies will initially respond within the Unified Command using existing incident- or hazard-specific plans (such as the National Oil and Hazardous Substances Pollution Contingency Plan). These plans, which incorporate the coordinating structures and mechanisms of the NRP, provide detailed protocols for responding to incidents of lesser severity normally managed by Federal agencies without the need for the Secretary of Homeland Security to manage the Federal response.

As Federal, State, and local responders deploy, they must, regardless of agency affiliation, report in to ICP to receive an assignment in accordance with the procedures established by the Unified Command. At this juncture, they are under the tactical control of the Unified Command.

Agencies with jurisdictional responsibility join the Unified Command while agencies that lack jurisdictional responsibility, but are heavily involved in the incident:

- Are defined as supporting agencies;
- Are represented in the command structure; and
- Effect coordination on behalf of their parent agency through a liaison officer attached to the Unified Command.

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

Immediately upon receiving notification of a significant incident or potential incident, the Unified Command will notify appropriate Federal, State, and local EOCs. The EOCs coordinate support functions and provide resources support. Specific functions include:

- Multiagency Coordination
- Communications
- Resource dispatch and tracking

- Information collection, analysis, and dissemination

Local EOCs notify State and tribal EOCs, which in turn notify the National Operations Center (NOC). Simultaneously, Federal EOCs notify the NOC through existing reporting mechanisms; reporting requirements are outlined in the NRP at page 46. In the example of a bombing with a terrorism nexus, the FBI Incident Commander within the Unified Command at the bombing site notifies the FBI Strategic Information and Operations Center (SIOC) regarding the terrorism nexus. The SIOC then notifies the NOC.

### **National Operations Center (NOC)**

On receipt of a threat or incident notification, the NOC assesses the overall situation and makes an initial determination to initiate the coordination of Federal information-sharing and incident management activities.

Implementation of NRP coordination mechanisms is flexible and scalable. Actions range in scope from ongoing situational reporting and analysis, through the implementation of NRP Incident Annexes and other supplemental Federal contingency plans, to full implementation of all relevant NRP coordination mechanisms outlined in the NRP Base Plan.

During incidents or potential incidents of lesser severity than an Incident of National Significance, the Secretary may receive (through the NOC) requests for the activation of any NRP coordination mechanism.

### **Secretary of Homeland Security**

Where the threat or incident is or may evolve into an Incident of National Significance, the NOC reports to the Secretary of Homeland Security and/or senior staff as delegated by the Secretary, who then determines the need to implement components of the NRP to conduct further assessment of the situation, initiate interagency coordination, share information with affected jurisdictions and the private sector, and/or initiate deployment of resources. Concurrently, the Secretary also makes a determination of whether an event should be designated as an Incident of National Significance.

The NRP distinguishes between incidents that require the Secretary of Homeland Security to manage the Federal response, termed Incidents of National Significance, and the majority of incidents occurring each year that are handled by responsible jurisdictions or agencies through other established authorities and existing plans executed in coordination with the NRP's comprehensive framework of Incident Annexes. When the Secretary of Homeland Security declares an Incident of National Significance, the Secretary will manage the Federal response,

### **Implementation of National Response Plan (NRP) Coordination Mechanisms**

The Secretary possesses the flexibility to implement any or all of the applicable broad coordinating structures and processes contained within the NRP based on the specifics and magnitude of the potential or actual incident. NRP augmenting structures which the Secretary may consider activating prior to or immediately following an Incident of National Significance include, but are not limited to: the Incident Advisory Council (described at page 6 above); Emergency Support Functions (described at pages 14-15 above); Principal Federal Official (described at pages 7 and 9-10 above); Joint Field Office, led by the PFO and the Joint Field

Office Coordination Group (described at pages 8-15 above); and Catastrophic Incident Annex (described at page 18 above). The NRP Base Plan, at pages 22 to 41, describes additional elements that may be activated by the Secretary.

### **How are issues resolved?**

Under the NIMS principle of resolving issues at the lowest practical level, the JFO Coordination Group provides strategic guidance and resolution of any conflicts in priorities for the allocation of critical Federal resources. If policy issue resolution cannot be achieved between JFO Coordination Group members, the PFO may raise the issue through the NOC-NRCC (described at pages 6-7 above) to the Incident Advisory Council (IAC) (described at page 6 above). The NOC forwards unresolved resource issues to the NOC-NRCC (described at pages 6-7 above), then to the IAC if further deliberation is required. Either concurrent with action in the IAC, or for issues not resolved by the IAC, the Secretary of Homeland Security or any other Federal department or agency head may take an issue of concern directly to the President, the Assistant to the President for Homeland Security and Counterterrorism, the Assistant to the President for National Security Affairs, the Counterterrorism Security Group, or the Domestic Readiness Group, depending on the type of incident.

## **V. GENERAL INFORMATION**

### **Training**

#### **What training is available on the National Response Plan (NRP)?**

The Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA)'s Emergency Management Institute has developed an independent study course on the NRP (The NRP: An Introduction – IS 800). In addition, it has developed other independent study courses for personnel involved in domestic incident management, to include a course on the National Incident Management System (NIMS: An Introduction – IS 700). To access any of these courses, visit the NRP web site at [www.dhs.gov/nationalresponseplan](http://www.dhs.gov/nationalresponseplan) and click on the training link.

### **Copies of the Plan**

#### **Where can I get copies or find more information about the NRP?**

For information on the NRP go to [www.dhs.gov/nationalresponseplan](http://www.dhs.gov/nationalresponseplan) or call (800) 368-6498. An electronic version of the Plan is available on the NRP website. To obtain hard copies or CDs, call the DHS/FEMA Warehouse at (800) 480-2520.