

***NEW YORK STATE  
COMPREHENSIVE EMERGENCY MANAGEMENT  
PLAN***

**Volume 2: Response and Short-Term Recovery**



**Disaster Preparedness  
Commission**

**PREPARED BY THE NEW YORK STATE  
DISASTER PREPAREDNESS COMMISSION**

February, 2016

List of Plan Revisions

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June, 2008	Annual Update	Multiple (Response, Levels, MAC)
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# New York State Comprehensive Emergency Management Plan

## Volume 2

### *Response and Short-Term Recovery Plan*

#### *Section I: General Considerations and Planning Guidelines*

##### I. General Considerations and Planning Guidelines

###### A. Introduction

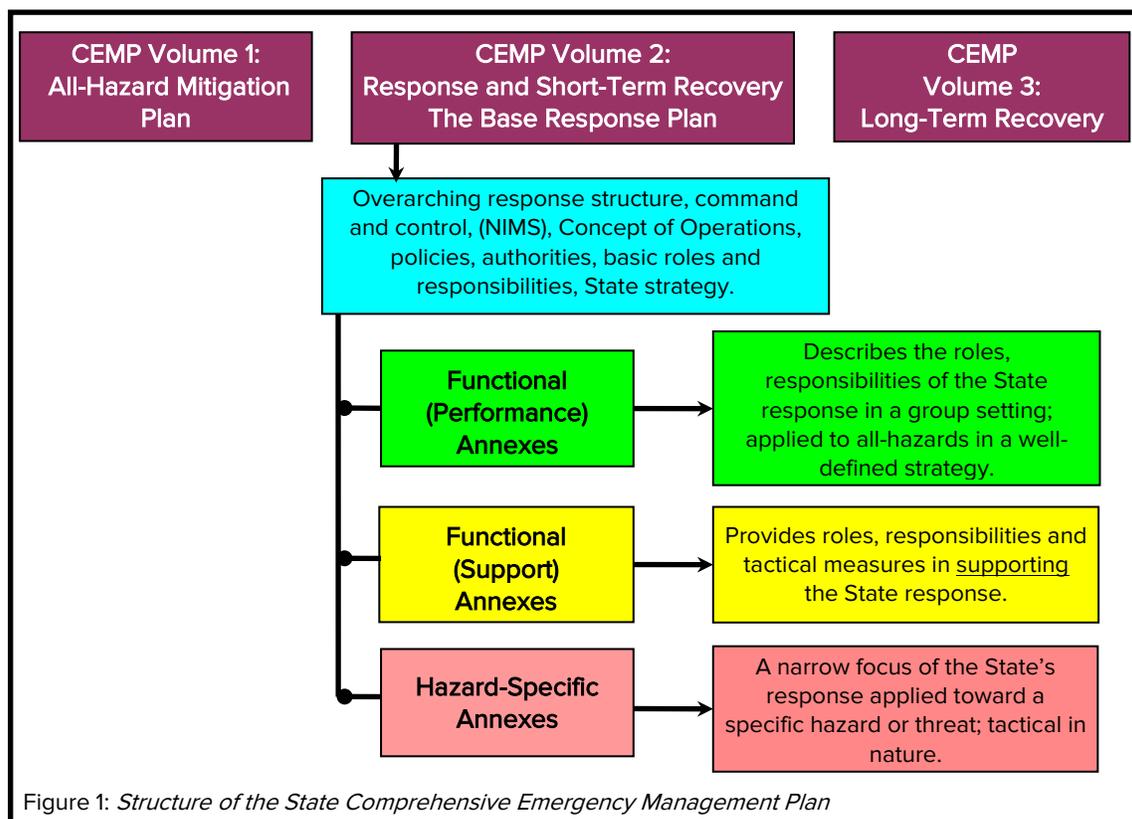
The State of New York experiences a wide variety of disasters that may cause loss of life, property and income, disrupt the normal functions of government, communities and families, businesses and the economy, and cause great human suffering. The occurrence of an emergency or disaster situation does not stop at municipal boundaries or borders. A large-scale emergency often exhausts resources at the municipal and county levels of government and warrants support from the State to effectively respond to the event. As a result, the State must give leadership and direction to prepare for, respond to and recover from the dangers and problems arising from such situations.

In 1979, the State Legislature promulgated State Executive Law, Article 2-B. Section 21 of Article 2-B identifies the State Disaster Preparedness Commission (DPC) and states that the DPC will coordinate the State's emergency management program. The section also identifies 33 State agencies or offices and one volunteer organization, the American Red Cross, which shall participate in emergency management activities. Section 22 of Article 2-B identifies the roles and responsibilities of the Disaster Preparedness Commission, of which includes the preparation of State disaster plans; directing State disaster operations and coordinating those with local government operations; and coordinating with Federal, State and private recovery efforts. Further, the State Office of Emergency Management has been authorized to serve as the administrative arm to the Disaster Preparedness Commission.

In 2003, the State of New York restructured its planning methodology. The effort culminated in the development of the State Comprehensive Emergency Management Plan (CEMP) in three distinct, but interconnected volumes. These are:

- Volume 1: All-Hazard Mitigation Plan
- Volume 2: Response and Short-Term Recovery
- Volume 3: Long-Term Recovery Plan

This document shall serve as Volume 2 of the State Comprehensive Emergency Management Plan, *Response and Short-Term Recovery*. In addition, this document is supported by functional annexes, each of which identifies the individual and collective actions of selected State agencies and State Functional Branches in applying their collective resources to all hazards. The structure of the plans in New York State is identified in Figure 1 on the following page.



## B. Purpose

The purpose of this document is to identify the State’s overarching policies, authorities and response organizational structure that will be implemented in an emergency or disaster situation that warrants a State response. In addition, this document will identify the concept of operations, lines of coordination and the centralized coordination of resources that will be utilized in directing the State’s resources and capabilities in responding to and recovering from a disaster. Further, this document will serve as the basic foundational framework for the State’s response levels, and the operational basis on which functional and hazard-specific annexes will be built upon. This document is not intended to address law enforcement criminal investigative or intelligence information or activities during the response to a disaster or incident.

This document outlines the State’s collective response and short term recovery to an emergency. State agencies will support the implementation of this document pursuant to statutory obligations founded in State and/or Federal regulation. Agency-specific operational plans in support of this document are the purview of those agencies. These plans are developed and maintained by the individual agencies and are incorporated into the State’s response based on the activation level and incident circumstance. These operational plans are executed by the individual agencies under the auspices of this document and as directed by agency executives. These operational plans may be implemented by individual agencies in support of their agency’s mission, or as a collective part of one or more of the State Functional Branch Annexes. It is beyond the scope of this document to list and include each agency-specific plan, policy or procedures that may be called upon or implemented in support of this document.

## C. Scope

This document applies to all natural, technological and human-caused emergencies or disasters where local capabilities may be exceeded, necessitating the use of State and/or Federal agencies and resources. In addition, the mechanisms in this plan are designed to address short-term recovery from any hazard that could adversely affect the State, and provide for seamless transition into the long-term recovery phase. The elements of this document may also be utilized for an increase in threat, regardless of the hazard, or pre-planned events that warrant the State to assume a more proactive and protective posture. Events that may warrant an increase in activation level include mass gatherings, holiday celebrations and National Special Security Events (NSSEs).

This plan applies to all State agencies and authorities that may be directed to respond to an emergency or disaster, and identifies the response structure for a State multi-agency response. In addition, nothing herein shall be construed as relieving or redefining any agency's statutory responsibilities unless directed by Executive Order of the Governor during a declared State Disaster Emergency. This document does not supersede roles and responsibilities as defined in the Anti-Terrorism Preparedness Act of 2004, found in Chapter 1 of the laws of 2004. If the provisions defined in the Act and this volume to the CEMP conflict, the Anti-Terrorism Preparedness Act of 2004 will take priority.

## D. Situation

There are a variety of emergencies or disaster situations that could occur in the State. Depending on the nature and/or location of the event, the hazard may be relatively routine in nature, or may pose a variety of response issues and concerns that have serious implications. Local government is typically the first line of defense in response to an emergency. The response generated by local government may be adequate to remedy the situation, or the event may overwhelm some or all of the resources at the local level.

Depending on the event and the response discipline, State response actions may occur concurrently or consecutively with the local response. In each case, State response and short-term recovery actions may include a variety of actions that will help in restoring essential services and systems to minimum operating standards. While State agencies possess a wealth of resources and response capabilities that can be applied to the situation in support of local government, some events or elements thereof may overwhelm the capabilities of the State and therefore require Federal assistance to effectively respond to and recovery from. Further, depending on the event, some emergencies may warrant an immediate Federal presence absent the exhaustion of State and/or local resources.

Regardless of the scenario, the State needs to have a methodology and structure in place to effectively and efficiently interoperate with all levels of government. In doing so, the State will maintain a high degree of commitment to prevent or minimize property damage, protect and save lives, and provide for all citizens who are or may be threatened by an emergency or who become victims of any disaster. These services will be coordinated to the maximum extent with comparable activities of local governments, other States, the Federal government, and voluntary/private entities.

In 2003, by way of Homeland Security Presidential Directive #5, President Bush directed the Secretary of Homeland Security to develop the National Incident Management System. The National Incident Management System (NIMS) integrates effective practices in emergency preparedness and response into a comprehensive national framework for incident management. In 2006, the Governor signed Executive Order #26.1, identifying the National Incident Management System (NIMS) as the State's command and control policy for use in coordinating the State's response to emergencies. The NIMS enables responders at all levels to work together more effectively to manage domestic incidents no matter what the cause, size or complexity.

The State Emergency Operations Center (SEOC) is located in the Public Security Building #22 on the Harriman State Office Campus in Albany. The SEOC is the primary location from which State response and short-term recovery activities will be coordinated. When activated, the SEOC's coordinative functions are managed by the State Office of Emergency Management (NYSOEM). Should the SEOC become unusable, operations will relocate to an alternate SEOC located at the Hudson Valley Transportation Management Center in Hawthorne. The State also possesses Regional Offices that can be used as an alternate EOC. The decision to activate an alternate EOC will be based on the situation at that time.

#### E. Planning Assumptions

1. The *Response and Short-term Recovery Plan* is a dynamic, living document that will continually evolve as the Disaster Preparedness Commission reviews State response and short-term recovery activities following incidents and/or exercises.
2. New York State is subject to a wide variety of hazards that may result in an emergency situation. Natural hazards may include floods, winter storms, windstorms and drought. Technological hazards, including radiological contamination and hazardous substance releases, are also being considered; so too are human-caused hazards, such as terrorist acts or civil disorder.
3. An incident may affect the State at any time and with no warning.
4. The State and its political subdivisions will continue to experience incidents that may result in death, injury, and damage and produce substantial consequences. In addition, there could be considerable damage to the infrastructure and/or environment.
5. The State and its political subdivisions will continue to experience incidents that may necessitate the evacuation and sheltering of the public at risk.
6. There are three organizational separations for governmental incident response and recovery: local, State and federal. Preparedness, warning, population protection, response, environmental protection and short-term recovery are general responsibilities of all levels of governments working together.
7. Local governments have developed, maintained, and implemented comprehensive emergency management plans that were created in accordance with Executive Law Article 2-B. The intent of these plans is to coordinate the local government response

activities within their borders and to ensure that all local resources are fully committed before requesting assistance from the State.

8. Although this Plan outlines procedures for coordinating the provision of supplemental State and Federal assistance, it is essential for all levels of government to be prepared to carry out incident response and short-term recovery actions until additional assistance is available.
9. State activities may vary based on the existence of a Governor's Declaration of a State Disaster Emergency and a request for Federal disaster assistance.
10. Agencies of State government may need to respond on short notice to provide effective and timely assistance to local government.
11. State employees, their families or their personal property may be impacted by the emergency. This may make them unavailable to conduct initial response operations or sustain operations on behalf of the State in the impacted area(s).
12. Based on the response discipline and the respective statutory authorities, some State agencies may be fully engaged in the response at the local level prior to a State EOC activation or State Disaster Emergency.
13. Concepts and practices of the components of the NIMS ICS system will be used during response and recovery, as needed.
14. State agencies may incorporate the use of an Agency Departmental Operations Center (ADOC) to coordinate and direct individual agency actions in the response.
15. The severity of problems resulting from an incident may depend on factors such as time of occurrence, severity of impact, existing weather conditions, area demographics and the nature of building construction. Collateral events, such as infrastructure failure, may also increase the impact on the community, multiply property losses, and hinder the immediate response and short-term recovery efforts.
16. Response and short-term recovery capabilities will be enhanced by supplemental resources through intra- and inter-State and Federal mutual aid agreements and compacts, including the Emergency Management Assistance Compact (EMAC).
17. It is expected that State-owned facilities and resources in an affected area also may suffer widespread damage and destruction. This situation may severely limit or eliminate response capabilities of State agencies within the affected area.
18. Federal agency resources and expertise can be requested and will be coordinated to augment local and State efforts in relieving problems that are beyond the capabilities of both State and local governments.
19. Federal agencies may engage in a unilateral response and/or offer assistance under their statutory authority to affected areas in lieu of a presidential declaration. These activities may or may not be coordinated through the activation of the National Response

Framework (NRF) or the appropriate in-place contingency plan, such as the National Contingency Plan.

20. This volume of the State Comprehensive Emergency Management Plan, or any annex thereof, may be activated whether or not the Federal government considers the incident an Incident of National Significance.

#### F. Concept of Operations

An emergency or disaster occurring in the State may originate at the local level and escalate to warrant a State response or, based on the size/complexity of the incident, may warrant an immediate State response. Moreover, while the concept of operations may have similar precursors, the initiation of State involvement may be distinctly different depending on how the event unfolds. Therefore, two potential concepts of operations are envisioned:

1. Incidents originating at the local level that exhaust local resources and lead to a State, and possibly a Federal response.
  - a) An incident occurs in the State. Local governments and emergency service organizations will continue their essential role as the first line of defense.
  - b) When an incident is beyond local capabilities, towns and cities, except the City of New York, will request help through their respective county government. Village governments will request assistance through their town government and, successively, county government. Counties and the City of New York will request State assistance through the State Office of Emergency Management (NYSOEM).
  - c) State assistance is supplemental to local efforts.
  - d) Based on incident specifics and the requests for assistance, the State Office of Emergency Management makes a determination on the level of State involvement needed. Depending on the nature of the request, some requests for assistance may be orchestrated through pre-existing interagency protocols or statutory obligations.
  - e) If the incident or the requests warrant an increase in the State response level, the State Emergency Operations Center (SEOC) will be activated and select agencies or Functional Branches will be requested to staff the SEOC.
  - f) The State's response will be organized and coordinated under the confines of the National Incident Management System (NIMS), Incident Command System (ICS). As such, a variety of ICS-based components, capabilities and structure will be considered and implemented, as appropriate. The coordinative structure put into place will be incident-based, and will incorporate the response structure in the field into the overall State response.
  - g) If Federal involvement is needed or forthcoming, the State will request assistance from Federal agencies, through already existing Federal compacts, Federal contingency plans or the President. State response activities will align State agencies or Functional Branches with the appropriate Emergency Support Function (ESF),

- Principal Federal Official (PFO) and Federal On-scene Coordinator(s) (FOOSC). The capability for the State to provide this interoperability will occur at the SEOC and any forward location being utilized to coordinate the local, State and Federal response.
- h) The incident command structure put into place for State response operations will be supportive of the transition from response operations into the short-term recovery phase of the incident. Structural response components and agencies will be demobilized based on the needs of the incident, as appropriate.
  - i) NYSOEM will coordinate disaster recovery efforts with the appropriate local, State and Federal officials. Specific agency resources are assigned by the agency per established procedures and protocols. Variations of this are incident-specific and are generated via goals and objectives established by the MAC group.
2. An incident occurs in the State requiring an immediate State, and possibly a Federal response.
- a) An incident occurs in the State that immediately overwhelms local government and/or warrants an immediate State response.
  - b) State agency representatives that have jurisdiction or statutory obligations may quickly become involved in the incident at the local level. State agency representatives will likely assimilate into the local response organization, if any. Resource requests and situational information are communicated through existing agency protocols and chains of command.
  - c) Based on incident specifics and the incoming information, the State Office of Emergency Management makes a determination on the level of further State involvement needed. Depending on the nature of the request, some requests for assistance may be orchestrated through pre-existing interagency protocols.
  - d) If the incident or the requests warrant an increase in the State response level, the State Emergency Operations Center (SEOC) will be activated and select agencies or Functional Branches will be requested to staff the SEOC.
  - e) The State's response will be organized and coordinated under the confines of the National Incident Management System (NIMS), Incident Command System (ICS). As such, a variety of ICS-based components, capabilities and structure will be considered and implemented, as appropriate. The coordinative structure put into place will be incident-based, and will incorporate the response structure in the field into the overall State response.
  - f) If Federal involvement is needed, the State will request assistance from Federal agencies, through already existing Federal compacts, Federal contingency plans or the President. When Federal assistance is provided, State response activities will align State agencies or Functional Branches with the appropriate Emergency Support Function (ESF), Principal Federal Official (PFO) and Federal On-scene Coordinators (FOOSCs). The capability for the State to provide this interoperability will occur at the SEOC and any forward location being utilized to coordinate the response.

- g) The incident command structure put into place for State response operations will be supportive of the transition from response operations into the short-term recovery phase of the incident. Structural response components and agencies will be demobilized based on the needs of the incident, as appropriate.
- h) NYSOEM will coordinate disaster recovery efforts with the appropriate local, State and Federal officials.

#### G. Authorities

The authority to undertake this plan rests on several State Laws or Executive Orders, including the following:

- New York State Constitution
- New York State Executive Law, Article 2-B (4/1/79), as amended
- New York State Defense Emergency Act (4/12/51), as amended
- Executive Order # 26 of 1996 and # 26.1 of 2006 as amended (NYS Adoption of the Incident Command System)

# New York State Comprehensive Emergency Management Plan

## Volume 2

### *Response and Short-Term Recovery Plan*

#### *Section II: Preparedness*

## II. Preparedness

### A. All-Hazard Planning and Mitigation Planning

Volume 1 of the State Comprehensive Emergency Management Plan is the *State Multi-Hazard Mitigation Plan*. New York State participates in Federal, State and local mitigation programs and identifies ongoing mitigation opportunities. The State takes maximum advantage of available Federal funding to implement mitigation measures at the State and local levels. Throughout the past several years, a substantial amount of funding has been invested in mitigating the impacts of various disasters in all parts of the State. Volume 1 addresses the overall State hazard mitigation planning process, risk assessment, strategy development and plan maintenance. The *State Multi-Hazard Mitigation Plan* was federally approved by DHS/FEMA in 2014.

Pursuant to the requirements of 44 CFR 201.4, the State Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to cause a substantial impact on the State. However, mitigation planning efforts for technological and human-caused hazards are also recognized and are being implemented throughout the State. In addition, the State has developed numerous hazard-specific annexes that take an in-depth look at some of the State's highest rated hazards. In addition, the State has developed numerous hazard-specific annexes that take an in-depth look at some of the State's highest rated hazards. A list of State hazard-specific annexes can be found in Attachment 1: *Listing of State Hazard-Specific, Functional and Support Annexes to the State Comprehensive Emergency Management Plan (CEMP)*.

Volume 3 of the State Comprehensive Emergency Management Plan CEMP is the Long-Term Recovery Plan. This volume includes the mechanisms for utilizing long-term recovery components, including mitigation, provided for under the Federal Robert T. Stafford Disaster Relief and Emergency Assistance Act and a variety of Federal-State programs. Volume 3 also recognizes the primacy of local governments in the implementation of long-term recovery plans and, depending on the nature and impact of the disaster, new programs might be necessary to effectuate full recovery.

## B. Training and Exercising

The State of New York sponsors and conducts a variety of training to improve response capability. This includes varying levels of training in the Incident Command System and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet Federal program and grant requirements. Further, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline.

The State also conducts a variety of exercises to assess and improve upon its response capabilities. The State utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises provide viable input into plan development and help to ensure that the plan is effective in its scope and application. In addition, while some of these exercises are often linked to a specific grant requirement, others exercises are conducted as part of ongoing or existing programs, such as those for the Radiological Emergency Preparedness Program.

The State of New York has embraced the Homeland Security Exercise and Evaluation Program (HSEEP) as put forth by the U.S. Department of Homeland Security, Office for Domestic Preparedness (DHS/ODP). HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises and is a threat-and performance-based exercise program that includes a cycle, mix, and range of exercise activities of varying degrees of complexity and interaction. HSEEP is also a program of financial and direct support designed to assist State and local governments with the development and implementation of a State exercise and evaluation program to assess and enhance domestic preparedness. The State of New York is instituting the HSEEP into a host of activities that involve an emergency activation of the SEOC.

## C. Resources Lists and Typing

The functional annexes to this document include a general overview of the State's resources available to apply to a variety of hazards. Additional resource lists are typically housed in agency-specific documents or hazard-specific and functional annexes, both of which are beyond the scope of this plan. In addition, the State has initiated resource typing consistent with the NIMS resource management component. The typing will be incorporated into State plans, policies and procedures, as appropriate, upon completion of the efforts of the task force.

## D. Plan Updates and Maintenance

This volume will be routinely updated and supplemented as Federal, State, and local plans and procedures evolve. Plan changes may be based upon experiences and lessons-learned from exercises, or from real-world events, and will support a corrective action program as appropriate. Ongoing planning efforts will focus on ensuring that the necessary and appropriate contacts with local, State and Federal officials are maintained and coordination efforts are refined as necessary.

# New York State Comprehensive Emergency Management Plan

## Volume 2

### *Response and Short-Term Recovery Plan*

#### *Section III: Response*

### III. Response

#### A. Alert and Notification

Several State agencies continuously operate their own warning points, operational centers, dispatch centers or reporting systems. Included among these is the State Watch Center (SWC). Pursuant to Federal, State, executive and agency protocols, these systems are routinely utilized for notifications of significant or reportable events and/or make emergency notifications to State personnel. These systems can also be used to receive and/or make additional alerts or notifications, the decisions of which are made by State executives or the NYSOEM duty officer as per State and/or agency protocols.

Once the determination has been made to activate the State Emergency Operations Center (SEOC), the appropriate agencies and/or functional groups will be identified and will be requested to send a representative to the SEOC. In spontaneous events, agencies will be notified via the NYSOEM Notification System, as appropriate. In preplanned events, agencies would be summoned via electronic or hardcopy correspondence.

#### B. State Response Activation

The State response organization will be activated based upon the scope and magnitude of the incident. Three levels of activation are provided and are preceded by day to day, steady-state operations. During steady-state operations, NYSOEM maintains the SEOC in a readiness posture, while conducting normal day-to-day operations, and conducts surveillance and monitoring of any potential emergency via the State Watch Center.

1. Level 3 – Situation Room Activation: Activation by NYSOEM staff to more closely monitor a developing situation or an incident.
  - This level may include the activation of a limited number of sections to provide situational reporting, and make preparations to increase the State’s response posture, as appropriate.
  - This level may include the activation by one or more appropriate agencies to respond to discipline-specific events; or to more closely monitor a developing situation or an incident with limited impact; or to prepare to or provide any necessary assistance as allowed by statutory authority.

- This level may include a limited representation of Functional Branches or groups to monitor conditions and make preparations to support an increase in the State’s response posture.
  - If warranted, the Director of NYSOEM or designee (i.e., Operations Section Coordinator, EOC Manager) and the activated Functional Branch leaders will jointly identify which agencies of each Functional Branch are required to support the activation level and the current response.
  - At this point, an initial Multi-Agency Coordination (MAC) Group meeting may be convened to discuss the implications of the potential event. The MAC representation will initially include members from agencies as warranted by the hazard. Event-specific MAC representation can be found in each hazard-specific annex to this Plan.
2. Level 2 – Partial Activation: Activation of additional agencies and/or Functional Branches to respond to an emergency or disaster situation that may have a broad and potentially devastating impact on the State. Upon the declaration of a State Disaster Emergency, the Governor may direct any and all agencies of State government to provide assistance under the coordination of the Disaster Preparedness Commission (DPC).
- This level may include some or all of the Functional Branches as well as individual agencies.
  - The Director of NYSOEM or designee (i.e., Operations Section Coordinator, EOC Manager) and the activated Functional Branch leaders will jointly identify which agencies of each Functional Branch are required to support the activation level and the current response.
  - At this point, a Multi-Agency Coordination (MAC) Group will be activated to define the executive policies in the State’s response and create overarching strategies that provide general direction for participating agencies and entities.
  - A multi-agency situation unit (MASU) may be activated to explore the anticipated response issues specific to the incident. The MASU will be composed of members from agencies with direct incident management responsibilities.
  - It is at this point that the State will consider establishing a Joint Information Center (JIC) to begin developing and disseminating critical public messaging and advisories based on the situation.
3. Level 1 – Full Activation (with possible National Response Framework (NRF) Coordination): An event warranting this level of activation will most likely result in a Presidential Declaration of “Major Disaster” or “Emergency” and significant local and Federal government involvement.

- This level is considered as indicated, and includes all of the State's Functional Branches, individual agencies and Federal involvement.
- The Director of NYSOEM or designee (i.e., Operations Section Coordinator, EOC Manager) and the additional Functional Branch leaders will jointly identify which agencies of each Functional Branch are required to support the activation level.
- Functional Branch leaders will interface and coordinate with the corresponding Federal emergency support functions (ESFs).
- The State will designate a State Coordinating Officer (SCO) to work in unison with the Federal Coordinating Officer (FCO), as identified. The SCO and FCO will be in position at the SEOC until a joint field office (JFO) is established.
- If not activated at the previous response level (Level 2), the State will establish a Joint Information Center (JIC) to begin developing and disseminating critical public messaging and advisories based on the situation.
- If not activated at the previous response level, a Multi-Agency Situation Unit will be activated to explore the anticipated response issues specific to the incident.

The alignment of EOC activation level and the corresponding ICS function and capability can be found in Attachment 2, *State EOC Activation Level Matrix*.

### C. Warning and Emergency Information

Section 23 (§23(7) b (3)) of State Executive Law, Article 2-B identifies that local government has the responsibility to provide public warning to its population. The capability to do so varies Statewide, and includes a variety of different mechanisms and functions, both electronic and human, to accomplish this task. Further, the activation of the Emergency Alert System (EAS) in the State is typically done at the county level of government.

Section 23 (§23(7) b (10)) of State Executive Law, Article 2-B identifies that local governments will utilize a mechanism to provide information to the public in time in times of emergency. While this capability is realized at the local level, the State can and will support the dissemination of emergency information, as needed, in support of local government. If needed, NYSOEM will establish a Joint Information Center (JIC) which will serve as the sole source of official public information regarding all incident activities (federal, State, local). The JIC will provide a forum for the coordinated release of all information. JIC operations will be coordinated as Stated in the Public Information Annex to the State Comprehensive Emergency Management Plan (CEMP).

NYSOEM has developed and maintains a web-based, multi-modal alert and notification system: *NY-ALERT*. *NY-ALERT* provides for the rapid notification of citizens of critical information via their cellular or landline telephones, webpage, RSS feed, text messaging, email, faxing, EAS and/or alpha-numeric pagers. *NY-ALERT* is also able to send secure messages to pre-identified notification groups of key personnel and partner stakeholders. Authorized Users are personnel who can activate the *NY-ALERT* system. NYSOEM Executive

Staff and key Senior and operational staff of NYSOEM have been designated as Authorized Users for various components of the system. *NY-ALERT* has also been fully integrated with key partner agencies, the National Weather Service many State and private colleges, and by many State agencies that utilize *NY-ALERT* for internal and external customer communications as well.

Most of the counties in New York State have adopted *NY-ALERT* as a backup to their general population alert and warning system as well. The County Emergency Managers in each county across New York State have been designated by the Director of NYSOEM as Authorized Users of *NY-ALERT*. The full details of this program, its design and rules of use are beyond the scope of this plan.

The State has recognized that in some cases, a hazard may impact local government's capability to initiate their alert and warning system, including *NY-ALERT* and/or the EAS. To compensate, NYSOEM has implemented procedures to support the remote activation of *NY-ALERT* at the request of an Authorized User when they are unable to do so.

#### D. Direction and Control of the Response Organization

The State endorses the development of one response organizational structure that will include all responding agencies. State agencies will be organized under the framework of the National Incident Management System (NIMS) Incident Command System as required by Executive Order 26.1 of 2006 and HSPD-5. As such, a variety of direction and control components may be utilized to manage and coordinate the State's resources in an efficient and effective manner and to provide the interoperability between the local and Federal response organizations.

The following is a description of the major components of the State's response organization. The operational plan for each individual ICS Section can be found in the *State EOC Activation Checklists and Annexes*, as amended.

##### 1. State Coordinating Officer (SCO)

In accordance with 44 CFR § 206.41, the Governor of the State shall designate State Coordinating Officer (SCO) to coordinate State and local disaster assistance efforts with those of the Federal government. The SCO, who will have the overall responsibility for the coordination of State resources and Federal assistance in support of the State and local response to the incident, will typically be the director of NYSOEM; however the Governor may designate another individual with statutory responsibility based on the type of incident.

##### 2. Command and Multi-Agency Coordination / Executive Policy Group

The Unified State response and short-term recovery activities will be coordinated through the State Emergency Operations Center. In smaller incidents, such as those that warrant a Level 3 activation, the State's response will be coordinated by NYSOEM, on behalf of the Chairman of the Disaster Preparedness Commission or by a State agency in those events where responses are discipline-specific to the agency. This authority may

be delegated to others utilizing ICS principles. In larger incidents, the State may utilize a Unified Command structure to manage the State's response. Agency representation in a Unified Command will be based on the hazard and the impact on the State. Further, for incidents warranting a Level 2 or Level 1 response, the State will bring together a Multi-Agency Coordination (MAC) Group to define the executive policies in coordinating the State's response.

The MAC will be comprised of executive-level agency representatives of the State Disaster Preparedness Commission or individuals who have been delegated the authority to speak on behalf of their agency. The MAC will serve as a policy-making authority in the State's response and will provide the executive direction in the following:

- Developing incident goals;
- Prioritizing incidents;
- Ensuring agency resource situation status is current;
- Determining specific incident and agency resource requirements;
- Allocating resources to incidents based on priorities;
- Resolving issues of agency overlap;
- Anticipating future agency/regional resource needs;
- Communicating MACS "decisions" back to agencies/incidents; and,
- Providing necessary liaisons with other coordinating facilities and agencies as appropriate.

The agencies that will be represented in the MAC will be based on the type of incident and the statutory obligations of the agencies involved. As such, individuals designated to serve on the MAC should have in-depth agency-specific knowledge, experience in technical and content areas, possess the authority to make agency decisions and have direct access to top department or agency executives. Additional agencies may be added to the MAC as needed.

The Executive Policy Group includes the Governor, members of the Executive Chamber and key State agency executives that may be deployed to the impacted region(s) to communicate with regional state representatives and local elected officials. This group brings together State leadership in a combined effort to better assess local needs, and to expedite State response activities during an incident. Overall, its purpose is to ensure that State agencies respond expeditiously to operational assignments, and also to ensure that the State Emergency Operations Center (SEOC) has a complete picture of agency activities and resource deployments.

MAC policies and strategies will be disseminated to the response organization via briefings, action plans, electronic media or other means as appropriate. Activities and tactics conducted in support of the MAC will be coordinated through the activated Functional Branch(es), agency representatives and to forward locations (i.e., ICP - Incident Command Post) where State agencies are operating.

### 3. Agency Intergovernmental Affairs Representatives

The Governor's Office has established Regional Representatives in the field that are actively engaged in day-to-day emergency preparedness issues. These representatives

work in coordination with DHSES Regional Staff members, and elected officials at the county and local level.

During an incident, the Governor's Regional Representatives will work closely with local elected officials in the impacted area(s) to address local needs and concerns in regards to the State response. The Governor's Regional Representatives provide communication and coordination to an Intergovernmental Affairs staff member at the NYS EOC.

The Intergovernmental Affairs Liaison Function serves as the focal point to address state and local issues and concerns from local elected leaders. The Intergovernmental Affairs Liaison maintains close communication and coordination with the Executive Chamber to address such issues, and coordinates with the State OEM Executive to respond to incident needs, as appropriate.

#### 4. Command Staff Positions

##### a. Safety

A Safety Officer may be appointed to assess hazardous and unsafe conditions associated with the operation of the State EOC. This position will likely be staffed in the State EOC in Level 2 or Level 1 activations. While this position may be staffed by a small number of individuals, DPC agencies may be called upon to provide technical expertise in a specific subject to support the Safety Officer. The Safety Officer of the SEOC has no responsibility of the field activities. The identification and use of a Safety Officer in the field will be at the discretion of the command structure in place at the ICP.

##### b. Legal

A Legal Officer may be appointed to address any potential legal issues associated with the response and short-term recovery. This position will be staffed at the Level 2 or Level 1 activation level. Further, this individual will work in unison with the ICS structure in place, primarily in support of the MAC, if established. The Legal Officer will coordinate and address legal issues that may arise with counsel from other State agencies, as appropriate.

##### c. Public Information / Joint Information Center

IA Joint Information Center (JIC) may be established by NYSOEM in conjunction with other State agencies and in coordination with the Governor's Communications Office (Press Office). The Joint Information Center (JIC) will serve as the sole source of official information regarding all incident activities (federal, State, local). The JIC will provide a forum for the coordinated release of all information. Public Affairs staff from DPC Agencies will be utilized to support the JIC, as appropriate. JIC operations will be coordinated as Stated in the Public Information Annex to the State Comprehensive Emergency Management Plan (CEMP).

## 5. General Staff Operations and Functional Groups

State Response Operations will be coordinated from the State Emergency Operations Center in Albany. State operations may be organized using any and all components of the Incident Command System as appropriate to effectively manage the State's response.

### a. Operations

For steady-state operations: State resource requests and overall coordination will be managed by the NYSOEM Duty Officer or respective agency personnel through established agency protocols and procedures, as appropriate. The NYSOEM Duty Officer may be made aware of these missions through the State Watch Center or reporting by agency NYSOEM Liaisons.

For Level 3, 2 and Level 1 Activations: Response activities will be coordinated by an EOC Manager or by the agency with jurisdiction in cooperation with the EOC Manager. The EOC Manager will maintain resource status information through the agencies represented and the Logistics section in the EOC.

In Level 2 or Level 1 Activations: Agency resources will be coordinated through the activated agencies or State Functional Branches.

It is highly likely that during Level 2 or Level 1 activations, the State may utilize field coordinators to facilitate on-scene incident management activities. In such cases, the SEOC will serve in a supportive role to activated field components as qualified field coordinators will control State field operations.

### b. Planning Section

The role of the Planning Section is to collect, evaluate and disseminate incident information throughout the State response organization. The Planning Section is responsible to coordinate the development of the Incident Action Plan (IAP) within the section and across other sections in the State EOC. The section serves as a key resource in painting an operational picture in identifying issues, concerns and resource status for the Command Staff and the MAC (if established) to consider in the decision making process. The activation of the section may include various units within the section to support the overall mission of the section and the State's response. These include a Resources Unit, Situation Unit, a Documentation Unit, and may include a Demobilization Unit to coordinate the demobilization of the State EOC.

The section's mission and level of staffing will be managed in varying levels consistent with the activation level declared for the response as identified in the *State EOC Activation Checklists and Annexes*. As such, in larger events, multiple agencies may be called upon to support the section in varying capacities. Further, the Planning Section may also be supported by the activation of agency-specific technical specialists (i.e., fire behavior, environmental) to support the Situation Unit and the Planning Section in painting the operational picture for Command Staff and the MAC (if established). Lastly, the Planning Section has the primary responsibility to

coordinate the production and distribution of the situation report with the activated agencies, Functional Branches and ADOCs, as appropriate.

c. Situational Information and Multi-Agency Situation Unit (MASU)

In steady-state operations, DPC agencies provide situational reports on agency status to State leadership, as appropriate.

For all SEOC activations, information reporting on State response activities will be done through the EOC to the Situation Unit. The Situation Unit will report collective State response activities to State leadership. In a similar fashion, agencies will individually submit their agency-specific information to State leadership as determined by their agency executive.

Depending on the nature of the event, DPC agencies may augment the Planning Section, including supporting the development of a Multi-Agency Situation Unit (MASU). The MASU will bring a variety of technical expertise and knowledge of potential issues that should be considered in the State's response. The information collated by the MASU can be readily and consistently transferred between agencies at the State EOC, ICP and Agency Departmental Operations Centers (ADOCs) and will be key in presenting response information and alternatives to the MAC in their decision-making process. When activated, the MASU will be the official source of all situational reporting to State leadership. The agencies that will be represented will be based on the hazard that the State is responding to. This is depicted in Attachment 3, *State Functional Branch Information Flow Process*.

In establishing an MASU, information will be obtained through a variety of sources, including:

- The SEOC, NYSOEM Regional Offices, State Agencies and local EOCs.
- Field locations, or the IMT, if deployed.
- The MAC, if established.
- Federal reporting, including the HSOC, JOC, FOSC, PFO.
- NY Responds.
- Media sources and outlets.
- State agency-specific networks to federal information sources.

The Planning Section and the MASU may be supported by the activation of agency-specific technical specialists to support the analysis of incident information. Based upon the incident, State agencies will be selected and tasked to support the Planning Section with an appropriate subject matter expert (SME). The SMEs assembled at the SEOC will likely mirror the representation of that in the field in an effort to provide an accurate and articulate report on incident status to the Command and General Staff and the MAC. In addition to individual agency expertise, several groups of SMEs exist to support the analysis of incident information. For example, a Dose Assessment and Evaluation Group can be utilized to identify the potential off-site consequences of an accident at a commercial nuclear power plant.

d. Situational Information with Agency Departmental Operations Centers

When the State EOC MASU and Agency Departmental Operations Centers (ADOCs) are activated, it is critical that the sharing of situational information and scientific data from field operations flows between the agencies or groups. The first step in the flow of situational information is for field observers to inform and update their home agency chain of command and Agency Operations Center of incident-related information. These agencies, in turn, notify the SEOC MASU of their activity and incident conditions. The MASU will distribute the information to the appropriate decision makers, agency representatives, and Functional Branches. At the same time, data collectors may be working in parallel to provide technical information, such as scientific data that needs to be analyzed by the appropriate ADOC's or technical specialists, before the data is disseminated as part of the common operational picture. In this case, field observers and data collectors will provide their findings to the appropriate ADOC's, who in turn will analyze the acquired data. When each ADOC has completed their review of the data, they should provide their findings to the SEOC multi-agency situation unit. Upon receipt, the MASU will distribute the data to the appropriate decision makers, agency representatives, and Functional Branches. Specific attention shall be given to ensuring that all appropriate agencies are included in data analysis before it is distributed or briefed to decision makers. If further clarification is needed by these representatives, then they may need to contact the respective ADOC or technical specialist for further clarification on the data they received. A chart delineating information flow with ADOCs active can be found in *Attachment 4: Information Flow Process with Agency Departmental Operations Centers*.

e. Logistics Section

The Logistics section will support the request and acquisition of assets to assist in the State's response and short-term recovery. In doing so, the Logistics section will coordinate with the EOC manager in acquiring State resources from the individual agencies or activated Functional Branches to meet the goals and objectives of the response organization. The Logistics section will work in close coordination with the Finance/Administration Section for acquiring resources through emergency purchases or contracts. Large logistical operations, including mobilization center(s) and distribution site operations will be managed as identified in the Logistics Annex to the State Comprehensive Emergency Management Plan.

f. Finance / Administration

The Finance / Administration Section will serve as the official source in reviewing and authorizing emergency purchases and contracts with other parties, including the private sector and Federal officials. The Finance Section will serve as the oversight in documenting response-related costs that have been incurred as a direct result of the emergency or disaster.

## 6. Area Command

In the event where multiple incidents are occurring, such as single large incident impacting a large geographical area requiring the use of multiple Incident Management Teams, the State may establish an Area Command to coordinate State response and short-term recovery activities. In coordination with the goals and objectives established by the MAC Group, the State Area Command structure will coordinate the development of individual incident objectives and strategies in support of the local response as well as establish priorities and allocate critical state resources in the region where local response is being supported by State Area Command.

New York State's risk profile includes the potential for incidents of such enormity and complexity that local and even regional governments may be completely overwhelmed or degraded by the incident. Such catastrophic incidents include major hurricanes, major earthquakes, and terrorist attacks including the use of Weapons of Mass Destruction. In such instances, the untoward impact upon one or more local or county governments may be of such magnitude that they implement the Devolution component of their Continuity of Operations Plan. In this instance, reference is made to the activation of incident management devolution and implementation a formal Delegation of Authority to the State to ensure an effective and coordinated response. The local or county government may continue to operate in other domains, such as routine government service delivery to their populations, but choose to delegate incident management to another authority. In such an instance, the State may establish an Area Command which provides coordination and incident management for all resources operating within the affected region.

## 7. State Incident Management Team

The State of New York has available a trained and experienced Type II All-Hazard Incident Management Team (IMT) under the auspices of the New York State Disaster Preparedness Commission. The NYS IMT is a State resource designed to assist emergency management and incident command personnel in ensuring a prompt, efficient and organized response to emergencies and disasters by providing a team of personnel who are highly trained in advising on the implementation of the incident command system or in establishing and implementing the incident command system. The NYS IMT is coordinated by the New York State Office of Emergency Management and is comprised of personnel from various State, county, and local entities.

The capabilities of the NYS IMT enable it to have the training, background and experience to be flexible enough to effectively function in many situations, including a field assignment at an incident command post or at local, county or State emergency operations center. Team members have significant experience in both ICPs and EOCs for large incidents and disasters. Given this flexibility, the NYS IMT is capable of providing assistance to an impacted local / county government while providing the coordination and interface with national IMTs and the State EOC, as required. In addition, the State may utilize the capabilities of other State IMTs via the Emergency Management Assistance Compact (EMAC).

## 8. Local Emergency Operations Center (EOCs)

Local EOCs will activate as needed per the county emergency manager and the chief elected official of that jurisdiction. State Agency staff can be utilized to support an activated EOC via working through their respective regional offices or assigned to that EOC through the command structure in place at the State level. Many State (DPC) agencies utilize regional offices, and provide support to local EOCs, as appropriate. In most cases, DPC regional staff will serve as a conduit for requests and coordination between the State and local levels during an emergency. In large events, regional staff may fall back and support the IMT, if deployed, or may support an Area Command.

## 9. Agency Departmental Operations Centers (ADOCS)

Several State agencies incorporate the use of Agency Departmental Operations Centers (ADOCS) to assist in coordinating resources in support of State response activities. The ADOCS are agency-specific and serve as the focal point for a State agency to respond to agency-specific resource requests and directly control the resources that fall under the purview of that agency. The ADOCS include their own agency-specific ICS structure to manage their supplies, equipment, personnel and situational information in support of the overall incident management structure.

### E. Resource Management

Incident management is management by objectives. As such, the objectives in responding to an emergency will be unique to the event. As a result, the mechanisms and structure for managing the resources to accomplish those incident-specific objectives will vary based on the incident.

The following is an overview of the various components that the State will utilize in managing its resources. The following does not apply to intra-agency resource deployments that each agency may take to fulfill its statutory obligations. Further, the ultimate decision on resource allocation/approval rests with the host agency where the resource being requested resides.

#### 1. Resource Identification, Availability, Assignment/Allocation, and Tracking in the SEOC Without Functional Branches

When the SEOC is operational with individual agencies represented, a resource request is first entered into the NYS Incident Management Software System (NY Responds). The EOC Manager or Assistant EOC Manager then approves, approves with modification, or denies with justification, the request that has been submitted. If it is determined that the request will be denied, then the requesting agency will be notified. However, if the request is approved, then it will be passed onto the SEOC Logistics Section Chief for assignment. The Logistics Section Chief has the ability to allocate a resource by requesting it from a State agency/authority, NYS stockpile, EMAC, FEMA, or through procurement measures. If the Logistics Section Chief does forward a request to an agency representative, the agency representative will forward the request back to their respected agency operations center (per their agencies standard operating guidelines) for follow-up and approval. All pertinent data in support of each request will be entered into the NY Responds system and each agency

representative will coordinate with the SEOC Logistics Section Chief on updates and additional data or mission needs to fulfill the request.

## 2. Resource Management with Functional Branches In The SEOC

Functional Branches may be utilized by the State Emergency Operations Center (SEOC) during SEOC activations as determined by incident needs. Functional Branches will participate in the planning process and provide detailed technical and situational information on their related area to the Situation Unit Leader in SEOC Planning Section and to field components of the response as directed by the SEOC Planning Section Chief. Functional Branches will monitor and coordinate agency tactical operations and activities within the functional branches' area of responsibility and will assure proper information flow regarding their area of responsibility throughout the State Response Structure. Functional Branches will also be responsible for resource identification and availability and may also provide resource tracking. An agency may allocate and/or assign resources from its own agency in pursuit of its statutory obligations. An agency acting within a Functional Branch may allocate and/or assign resources from its own agency providing that such assignments are in line with general resource allocation policies established by the MAC and in support of an approved plan developed by the Branch in response to a specific tasking from Command. Resource tasking that may impact other portions of the emergency must be coordinated through the Operations Section Chief.

The Operations Section Chief and the Situation Unit shall be kept advised of resource assignments and status in a procedural manner that will prevent resource assignments from being duplicated. All policy and procedure recommendations from the Functional Branch will be passed onto the SEOC Operations Section Chief for consideration by the MAC. In addition, branches will be tasked and should anticipate solving problems within the scope of their respective domain. Final tactical decisions will always be done at the discretion of the field operations and the agencies responsible for carrying out tactical operations.

## 3. Internal SEOC Requests For Assistance with Functional Branches

When the SEOC is operational with Functional Branches, all requests for resources and support that each Functional Branch may require from other Functional Branches to effectively respond will be passed onto the Branch Director (if assigned) or the SEOC Operations Section Chief. If the support needed is technical data (i.e., weather reports, GIS maps, personnel, or scientific data) then the Operations Section Chief will assign these requests to the SEOC Planning Section Chief for fulfillment. If the request for support needed is supplies, facility space, transportation, or accommodations, then the Operations Section Chief will assign these requests to the SEOC Logistics Section Chief for fulfillment. The Operations Section Chief may also assign the tasks to another Functional Branch. All requests and updates will be entered into the NYS Incident Management Software System (NY Responds).

A chart delineating the SEOC internal request flow process can be found in Attachment 5: *Internal Request Flow Process*.

#### 4. External SEOC Requests For Assistance with Functional Branches

When the SEOC is operational with Functional Branches, any request that is submitted into the SEOC will first be entered into the NYS Incident Management Software System (NY Responds). The EOC Manager or Assistant EOC Manager then has to approve, approve with modification, or deny with justification, the request that has been submitted. If it is determined that the request will be denied, then the requestor will be notified. If the request is approved, then it will be passed onto the SEOC Logistics Section Chief for assignment. The Logistics Section Chief and/or the EOC Manager may assign the request to the SEOC Operations Section Chief. Once the request is assigned to the Operations Section Chief, the request is passed onto the appropriate Functional Branch Director. The Functional Branch may coordinate with agency departmental operations centers, external partners and vendors to gather information on which entity could provide the timeliest, most cost effective and accurate support needed to complete the request. An agency may allocate and/or assign resources from its own agency in pursuit of its statutory obligations. An agency acting within a Functional Branch may allocate and/or assign resources from its own agency providing that such assignments are in line with general resource allocation policies established by the MAC and in support of an approved plan developed by the Branch in response to a specific tasking from Command. Resource tasking that may impact other portions of the emergency must be coordinated through the Operations Section Chief. The Operations Section Chief and the Situation Unit shall be kept advised of resource assignments and status in a procedural manner that will prevent resource assignments from being duplicated. All recommendations on resource identification, availability and/or tracking will be passed onto the SEOC Logistics Section Chief for update and availability. All policy and procedure recommendations from the Functional Branch will be passed onto the SEOC Operations Section Chief.

A chart delineating the SEOC external request flow process can be found in Attachment 6: *External Request Flow Process*.

#### 5. NYS Catastrophic Event External Request Flow

When the State Emergency Operations Center is operational for a catastrophic event, resource requests originating from the local level will be initiated from the County Emergency Operations Center (EOC) to request the resource from an established Area Command. The Area Command will have the authority to allocate State and Federal resources that have been deployed to the area based on priority and need within their geographic jurisdiction. This also includes the pre-deployment of such available resources that meet these criteria. Once the Area Command has allocated all of the available resources within its geographic area and have identified the need for additional resources, the area command will pass the request to the SEOC for fulfillment. If the SEOC is able to fulfill the request, the resource will be assigned to the Area Command for distribution to the jurisdiction in need. If the SEOC is unable to identify an available resource, then the request will be passed onto the SEOC DHS/FEMA liaison to be filled by the JFO. This process will be facilitated by a State presence at the JFO. Once the JFO has identified the resource, they will direct the resource to contact the Area Command for assignment to the county in need. Throughout the deployment period, the resource will maintain contact with their home agency and the Area Command. Each resource will be demobilized to their home agency only after the Area Command has approved their release. Upon release from their assignment, Area Command will notify the SEOC that the resource has been demobilized.

A chart delineating the SEOC external request flow process for catastrophic events can be found in Attachment 7: *Catastrophic Event Request Flow Process*.

## 6. State Incident Management Team (IMT)

The NYS IMT is generally available to deploy within several hours of a request (within New York State). The team, experienced in all of the ICS Command and General Staff functions, will arrive ready to provide assistance to the requesting jurisdiction. The requesting jurisdiction will retain ultimate authority through the duration of the incident while the IMT provides management assistance on their behalf. The requesting jurisdiction may choose to delegate responsibility for the management of the incident to the NYS IMT through a formal delegation of authority.

## F. Roles and Responsibilities

### 1. The Role of the Disaster Preparedness Commission

#### a. Incidents for Which the Governor Declares a State Disaster Emergency.

The Disaster Preparedness Commission directs and coordinates the State's response and short-term recovery from incidents in New York State following the declaration of the State Disaster Emergency by the Governor. The State Coordinating Officer, designated by the Governor, coordinates all State response and short-term recovery activities for the DPC.

#### b. Incident Coordination in the Absence of a State Disaster Emergency Declaration.

Certain non-disaster incidents and pre-and early-incident mobilizations for all incidents need to be coordinated due to their complexity and/or involvement of multiple agencies or levels of government. In the absence of a State Disaster Emergency Declaration, the Director of NYSOEM will ensure the establishment of a MAC Group to facilitate the coordination of the State response and/or mobilization efforts using the organizational framework outlined in this Plan.

DPC Agency representatives participate in the State's response by coordinating the deployment of the resources of their agency, and under their direction, within the overall State response structure. This responsibility is realized during an activation in which individual agencies are represented, with or without the activation of the Functional Branches.

### 2. State Functional Branches

The State has created seven Functional Branches to support its preparedness, response and recovery efforts. State Functional Branches that are activated in support of the State response will collectively utilize the resources available to them pertinent to the operation in three key areas: Situational Awareness, Resource Management and Strategic Planning. Functional Branch Leaders will coordinate such actions within the Group to

effectively respond to the demands of the incident. State Branch Leaders will coordinate their actions cognizant of over-arching policies and authorities, statutory or otherwise, as outlined in each Functional Branch Annex, any hazard-specific annex to the State CEMP and those objectives established by the MAC.

Activation of the Functional Branches is not automatic. As an incident expands in scope and/or magnitude and significant State resources are needed or anticipated, State Functional Branches can be activated at the SEOC as part of the Operations Section, as needed. Each Group is comprised of representatives from local, county, State Agencies, private sector and NGO organizations, depending upon the scope of the Branch's responsibilities, with a designated Branch Leader. Each State Functional Branch has a written protocol which serves as an Annex to this plan. The Branches are as follows:

**Transportation Infrastructure Branch (TIB):**

To provide coordinated, temporary, focused, limited State assistance to State Agencies, county Emergency Operations Center(s), and/or the New York City Emergency Operations Center who have exhausted their resources, but still have closed transportation infrastructure that creates life-threatening and unsafe situations. Also, the TIB monitors the operational status of Transportation Infrastructure during emergency situations when requested by the State Office of Emergency Management. The TIB coordinates request for and deployment of Federal resources needed and interoperating with Federal ESFs #1 resources requested to assist State response.

The State Department of Transportation serves as the supervising agency of the Branch, and will coordinate the activities of the Branch, when activated, in support of the State's response.

**Critical Infrastructure and Key Resources Branch (CI/KR):**

The role of the CI/KR Functional Branch is to provide coordinated, short-term, and focused assistance and monitoring and reporting of the operational status of local, County, State and private sector critical facilities and infrastructure during emergency situations. The State Office of Counter Terrorism serves as the supervising agency of the Branch, and will coordinate its activities. The CI/KR Branch coordinates request for and deployment of Federal resources needed and interoperating with Federal ESFs #2, #3, and #12 resources requested to assist State response.

**Emergency Services Branch (ESB):**

The role of the ESB is to detect and suppress wildland, rural, and urban fires resulting from, or occurring coincidentally with an incident requiring State assistance. The Branch coordinates mutual aid to local governments, when requested, including the activation and execution of the State Fire Mobilization and Mutual Aid Plan and the State EMS Mutual Aid Plan. It is important to note that activation of either plan does not necessitate the activation of the ESB, as the Office of Fire Prevention and Control and the DOH Bureau of EMS have statutory authority and agency-specific protocols to accomplish those efforts. However, if the complexity of the incident dictates that the ESB is activated, then the ESB will ensure that the efforts undertaken with the aforementioned Plans are aligned with the policies established by the MAC group and report the status of those efforts to the SEOC.

Additionally, the ESB coordinates the provision of specialized technical rescue teams to State and local authorities including Hazmat Teams, Swift Water Rescue Teams, Urban and Non-Urban Search and Rescue Teams. Urban Search and Rescue operational activities include locating, extricating, and providing on-site medical treatment of victims trapped in collapsed structures. Non-Urban Search and Rescue operational activities include locating missing persons, locating lost boats, locating downed aircraft, extricating people if necessary, and treating victims upon rescue. The ESB provides State support to State and local governments in response to an actual or potential discharge and/or release of hazardous materials and coordinates request for and deployment of Federal resources needed and interoperating with Federal ESFs #4, #9, and #10 resources requested to assist State response.

The State Office of Fire Prevention and Control serves as the supervising agency of the Branch.

**Law Enforcement and Security Branch (LE&SB):**

The role of the LE&SB is to coordinate support to incident security including mutual aid of law enforcement personnel to protect life and property, as appropriate. This includes providing security and protection, assisting in identification and disposition of the dead, and providing aviation equipment and support. The LE&SB coordinates request for and deployment of Federal resources needed and interoperating with Federal ESFs #13 resources requested to assist State response.

The Division of State Police serves as the supervising agency of the LE&SB.

**Human Services Branch (HSB):**

The Human Services Branch coordinates State and voluntary agencies assistance in support of local efforts to meet the mass care needs of disaster victims. This assistance will support the local delivery of mass care services of shelter, feeding, and mental health services to disaster victims; the establishment of systems to provide bulk distribution of emergency relief supplies to disaster victims. The HSB coordinates request for and deployment of Federal resources needed and interoperating with Federal ESFs #6 resources requested to assist State response.

The Office of Temporary and Disability Assistance (OTDA) serves as the supervising agency of the Branch.

**Public Health and Medical Branch (PHMB):**

The Public Health and Medical Branch provides coordinated State assistance to supplement State and local resources in response to a public health and care needs. The Branch may coordinate State and Federal resources during a developing potential medical situation, including with Federal ESF #8 resources requested to assist the State response.

The State Department of Health serves as the supervising agency of the Branch.

**Animal Protection Branch (APB):**

The Animal Protection Branch coordinates response activities and resources to provide protection to human and animal populations from animal disease outbreaks, natural

disasters, and other emergencies when resources are, or may be expected to be, exceeded. In addition, it provides an overview of the roles and responsibilities of the State, federal, and private agencies functioning under the annex. The annex also describes the emergency response organization and assigns responsibilities for various animal protection functions. The APB coordinates request for and deployment of Federal resources needed and interoperating with Federal ESFs #11 resources requested to assist State response.

The State Department of Agriculture and Markets serves as the supervising agency of the Branch.

#### G. State/Federal Coordination

The State NIMS system as defined in this Plan will be utilized to identify and prioritize response objectives that are of concern to the State. As such, the State Coordinating Officer will utilize the NIMS system as defined in this plan to identify and support State On-Scene and/or DPC Coordinators who will be responsible to interface with the local incident management system Unified Command and coordinate the accomplishment of State objectives with local, area, or regional Incident Management Systems, as appropriate.

Pursuant to pre-existing plans or statutory missions, agency or Commission On-Scene Coordinators will also be integrating into local, area, and regional incident management systems. They are responsible for coordinating the accomplishments of State agency or DPC-specific objectives. Prioritization of multiple State agency objectives shall happen in close coordination with the local, area, or State On-Scene Coordinator(s) as identified by the State Coordinating Officer and the MAC. When necessary, prioritization and/or identification of State response objectives or resource allocations will be strategically coordinated by the State Coordinating Officer, MAC Group(s) and/or supporting structures utilizing the NIMS frame work as indicated in this plan.

The State Coordinating Officer and identified local, area, or State On-Scene response structure will utilize the NIMS response system as defined in this plan to provide identified State On-Scene Coordinators with the necessary strategic planning, incident specific organizational structure(s), logistical, technical, financial, and operational support to accomplish identified objectives.

The State response organization, to include the State Coordinating Officer, State EOC and identified local, area, or State On-Scene Coordinator(s), will need to work in unison in coordinating with the Federal response. Generally, Federal resource support and assistance is not instantaneous. As such, several nodes and evolving lines of coordination may become active as the Federal response begins to organize and deploy. Initially, the primary State/Federal interface and response coordination will include collaborating with the DHS/FEMA representative in the SEOC (if present) or the DHS/FEMA Regional Office. As the response organization evolves and other Federal mechanisms become active, the State incident management structure, at the field-level and SEOC-level, will need to increase its level of coordination and communication to ensure that the State can maintain a centralized coordination of resources and ensure that the request, acquisition and deployment of State and Federal resources are used in an effective, efficient manner.

The Federal response system that will be used to support the State will take place at a Federal Regional Response Coordination Center (RRCC). The RRCC is a standing facility operated by DHS/FEMA that coordinates Federal regional response efforts and implements local Federal program support until a Joint Field Office (JFO) is established in the field and/or other key DHS incident management officials can assume their NRF coordination responsibilities. The RRCC will establish communications with the SEOC and the National Operations Center (NOC) and will coordinate the deployment of the Emergency Response Team–Advance Element (ERT-A) to field locations. Upon deployment, the ERT-A will assess damage information and issue initial Federal mission assignments, including the operation orders to activate Federal Emergency Support Functions (ESFs). Based upon the nature of the incident, the Federal Incident Response Support Team (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 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.

State/Federal coordination will be facilitated by the activation of a JFO, once established. The State Coordinating Officer (or designee) and the Governor’s Authorized Representative (GAR) will be represented at the JFO to facilitate the coordination of Federal resource support to the State. 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. The JFO utilizes a scalable, ICS-based organizational structure, but 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.

The Principal Federal Official (PFO) facilitates Federal support to coordinate overall Federal incident management and assistance activities from preparedness to recovery. An “initial PFO” may be identified until the primary PFO is in place. 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.

The Federal Coordinating Officer (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 and works in coordination with the PFO. 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, the roles of the PFO and FCO may be combined 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.

ESFs are the primary means through which the Federal government provides assistance to the State and serve as the coordination mechanism to provide assistance to State, local, and tribal governments or to Federal departments and agencies conducting missions of primary Federal responsibility. ESFs were first established in the Federal Response Plan and carried forward to the National Response Framework (NRF) as the mechanism to group Federal capabilities and resources into the functions that are most likely needed during actual or potential incidents where a Federal response is required (i.e., Transportation, Firefighting, Public Health, etc.). Each ESF is composed of primary and support agencies. The NRF identifies primary agencies on the basis of authorities, resources, and capabilities. Support agencies are assigned based on resources and capabilities in a given functional area. Additional discussion on roles and responsibilities of ESF coordinators, primary agencies, and support agencies can be found in the introduction to each of the ESF Annexes to the NRF.

ESFs may be selectively activated for both Stafford Act and non-Stafford Act incidents where Federal departments or agencies request DHS assistance or under other circumstances as defined in HSPD-5. 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.

Not all Incidents of National Significance result in the activation of ESFs. It is possible that an Incident of National Significance can be adequately addressed by DHS and other Federal agencies through activation of certain NRF elements (i.e., Principal Federal Official) without the activation of ESFs. Similarly, operational security considerations may dictate that activation of NRF elements be kept to a minimum, particularly in the context of certain terrorism prevention activities. The Federal response to actual or potential Incidents of National Significance will likely be provided through the partial or full activation of the ESF structure as necessary. The ESFs provide staffing for the National Response Coordination Center (NRCC), Regional Response Coordination Center (RRCC), JFO, and ICP as required by the situation at hand.

Table 1 identifies the State-to-Federal lines of coordination between State Functional Branches and Federal ESFs. The table illustrates the primary coordinative nodes between levels of government, from a Functional Branch setting. In addition, the table also depicts potential secondary or tertiary coordinative links that each State Functional Branch may need to coordinate with, or through, in effectively managing the response. This will likely be the case when a State agency is supporting more than one activated State Functional Branch. More detailed information can be found in each Functional Branch Annex.

State Functional Group or Agency	Federal Emergency Support Functions (ESF)													
	#1: Transportation	#2: Communications	#3: Public Works and Engineering	#4: Firefighting	#5: Information and Planning	#6: Mass Care, Emergency Assistance, Temporary Housing and Human Services	#7: Logistics Management and Resource Support	#8: Public Health and Medical Services	#9: Search and Rescue	#10: Oil and Hazardous Materials Response	#11: Agriculture and Natural Resources	#12: Energy	#13: Public Safety and Security	#15: External Affairs
Animal Protection						S	S	S			P			T
Critical Facilities & Infrastructure		S	S				S				P			T
Emergency Services		S		P			S	S	P	P			S	T
Human Services	S					P					S			T
Law Enforcement & Security	S	S					S						P	T
Public Health						P		P			S			T
Transportation Infrastructure	P		P											T
Overall DPC Response Organization / SOEM		P			P									P

**Key:**  
**P = Primary Coordinative Role**  
**S = Secondary Coordinative Role**  
**T = Tertiary Roles (all groups involved)**  
 \* = Long-Term Recovery planning will be incident-specific, with Groups and/or agencies being identified as stated in Volume 3 of the State CEMP, Long-Term Recovery Planning.

Table 1: State Agency/Functional Branch to Federal ESF Lines of Coordination

# New York State Comprehensive Emergency Management Plan

## Volume 2

### *Response and Short-Term Recovery Plan*

#### *Section IV: Short-Term Recovery*

#### IV. Short-Term Recovery

##### A. Overview

The scope of the State's involvement with disaster recovery activities will expand with the level of severity of the disaster. It is understood that a disaster that did not warrant a State or Federal disaster declaration could most likely be handled at the local level, using existing local and State programs and resources. As the scope of the disaster increases, and as the financial impact grows beyond the ability of local government to absorb within existing resources, the level of active participation by State and Federal programs and personnel will increase.

A variety of forces may influence the direction of the recovery process. The State of New York will endeavor to assist local governments, businesses, and citizens in recovering from the impacts of any emergency. Where possible, hazard mitigation measures will be incorporated into recovery activities in order to lessen the impact of reoccurrence, or eliminate it entirely.

Emergency response operations include a variety of measures that are taken to protect public health and safety. As the response begins to transition from the response phase to the recovery phase, the focus begins to shift to rebuilding a community and demobilizing State response activities and resources. The recovery process typically includes both short-term and long-term actions that can be taken restore a community to pre-disaster State, or better. Short-term recovery activities include those actions that can be taken to restore essential services and sectors that are vital to a community. Long-term recovery actions include rebuilding and capital programming efforts while incorporating mitigation measures into the recovery process. The following identifies the actions the State will take in managing short-term recovery efforts. Long-term recovery efforts can be found in Volume 3 of the State Comprehensive Emergency Management Plan, *Long-Term Recovery Planning*.

##### B. Utilizing the Response Structure

###### 1. Situational Information

The State response organization that was put into place to manage the State's response will be instrumental in initiating the short-term recovery process. In addition to the reporting structures that will exist, a variety of data collection points can be utilized to begin collecting to the recovery process. These collection points include information obtained via:

- The Situation Unit.
- The MAC, if established.
- Functional Branches.
- Area Commands or the IMT, if deployed.
- NYSOEM Regional Offices and other State Agencies.
- Federal reporting, including the HSOC, JOC.
- NY Responds.
- Media sources and outlets.

The information obtained from all of the reporting mechanisms will be captured by the Situation Unit in the EOC. A disaster recovery specialist will be assigned to the Documentation Unit to begin collating the information for State programs and a potential Federal Disaster Declaration. The SEOC activation level in which a recovery specialist will support the Documentation Unit in the Planning Section can be found in *State EOC Activation Checklists and Annexes*, as amended.

## 2. Agencies and Functional Branch Activities

State Executive Law, Article 2-B authorizes the Disaster Preparedness Commission to create a disaster recovery organization and ensure adequacy of staffing to effectively manage the recovery process. To assist in the recovery efforts, the DPC may assign responsibilities to State agencies that are above and beyond an agency's normal, day to day obligation. The delineation of these activities will be coordinated through the MAC, if activated, to the activated functional groups, agency liaisons and departmental operations center, as appropriate.

The Annexes developed by each of the State Functional Branches identify short-term recovery measures that can be taken by their respective group. These include the following:

### ➤ Transportation Infrastructure Branch (TIB):

For State transportation infrastructure facilities, the TIB can conduct damage assessments to determine status of facilities and/or modes; provides technical advice and evaluation, engineering services, and contracting for construction management and inspection; contracts for the emergency repair, and provides real estate support to assist State agencies in meeting goals related to lifesaving and life-sustaining actions, damage mitigation, and recovery activities following a State disaster emergency declaration.

For local transportation infrastructure facilities, may coordinate with local officials to conduct damage assessment to determine status of facilities, may perform temporary repairs and/or clearance of facility obstruction(s) when local resources are depleted, may provide technical advice and evaluation, may provide assistance with contracting construction management and inspection, and may provide assistance with contracting for emergency repairs to meet goals related to lifesaving and life-sustaining actions, damage mitigation, and recovery activities following a State disaster emergency declaration.

➤ Critical Infrastructure and Key Resources (CI/KR) Branch:

Provides technical advice and evaluation, engineering services, contracting assistance for construction management and inspection, contracting for the emergency repair of water and wastewater treatment facilities, public buildings, public property, municipal and State utilities, and other non-transportation infrastructure; and real estate support to assist State agencies and local governments in meeting goals related to lifesaving and life-sustaining actions, damage mitigation, and recovery activities.

➤ Animal Protection Branch (APB):

Provide assistance in the identification of livestock and reunification of livestock with the appropriate owner. Recovery support includes potential State and Federal provisions for reimbursement for livestock lost as a result of the disaster.

➤ Emergency Services Branch (ESB):

Following the response phase, the Branch can provide resource support to local emergency services in establishing and maintaining a State of readiness consistent with generally accepted standards. The Branch can also support post-incident assessments, evaluations and legal actions resulting from a hazardous chemicals release.

➤ Law Enforcement and Security Branch (LE&SB):

The Branch can support preliminary damage assessment and situational information from affected areas, augment security in evacuated areas and support traffic and access control points that may be used in population repatriation and family reunification.

➤ Public Health and Medical Branch (PHMB):

The Branch can support a variety of public health-related functions including follow-up epidemiological surveillance, supporting the health and hospital network capabilities, and issuing public health advisories on health issues that stem from the disaster.

➤ Human Services Branch (HSB):

The Human Services Branch can assist in supporting disaster mental health services and the collection of information to operate a Disaster Welfare Information (DWI) system for the purpose of reporting victim status and assisting in family reunification. The HSB also provides support for the operation of disaster assistance services centers and disaster recovery centers.

Key State agencies, which are represented on each State Functional Branch, have a variety of other capabilities and programs that can be administered to support both short-term and long-term recovery. These programs, as well as the appropriate State/Federal funding mechanisms, can be found in Volume 3 of the State Comprehensive Emergency Management Plan, *Long-Term Recovery Planning*.

### C. Assessing Damage

As part of the request for the declaration process, it is normally necessary to first conduct a Preliminary Damage Assessment (PDA). A PDA typically consists of a combined team of local, State and Federal engineers inspecting the damaged facilities and infrastructure and developing an estimate of the cost required to restore the facilities to their pre-disaster condition. The summation of all the individual projects' costs is then used by the State to demonstrate to DHS/FEMA that Federal assistance is warranted. If as part of the Preliminary Damage Assessment it is determined that some applicants have urgent funding needs, in regards to emergency work, then Immediate Needs Funding (INF) may be provided. Thus, when a major disaster is declared, DHS/FEMA may provide an applicant with up to 50% of the Federal share of the cost of such emergency work, and pay those funds within 60 days after the disaster declaration.

Many State agencies have the resources and capabilities to support the PDA process. The request and utilization of those resources will be coordinated through the EOC and Functional Groups, if activated, and communicated through Agency Departmental Operations Centers.

### D. State Disaster Emergency

Whenever the Governor finds that a disaster has occurred or may be imminent and local capabilities may be exceeded, the Governor may declare a State Disaster Emergency. Whenever the Governor finds that the event is of such severity and magnitude that the State will be overwhelmed, the Governor can request Federal assistance.

### E. Federal Disaster Assistance

If a disaster escalates to the point of a Federal declaration, there are a wide range of Federal assistance programs which are made available to help affected municipalities; public and private organizations and individuals recover from a disaster. The three main assistance programs, Individual Assistance (IA), Public Assistance (PA) and the Hazard Mitigation Grant Program (HMGP), are administered by the State, working with FEMA. The IA program is administered by the FEMA, IA Disaster Unemployment Assistance is administered by the State's Department of Labor, and IA Disaster Case Management is administered by NYS DHSES. Other key Federal programs, which originate from various other Federal agencies, are administered directly by the Federal agencies or by their counterparts at the State level. There are also numerous Federal regulations that support short-term recovery efforts in regards to IA and PA. It is beyond the scope of this document to reference each program and each implementing regulation.

The primary Federal mechanisms for IA and PA are identified in Federal Emergency Support Function (ESF) #3 - Public Works and Engineering. ESF #3 is structured to provide public works and engineering-related support for domestic incident management to include 36 preparedness, prevention, response, recovery and mitigation actions. Activities within the scope of this function include pre- and post-incident assessments of public works and infrastructure, executing emergency contract support for life saving and life-sustaining services, providing technical

assistance to include engineering expertise, construction management, contracting and real estate services, providing emergency repair of damaged infrastructure and critical facilities and the implementation and management of the DHS/FEMA Public Assistance program and other recovery programs. Implementation and management of the DHS/FEMA Public Assistance program and other recovery programs between and among Federal, State, and Tribal officials, to include efforts to permanently repair, replace, or relocate damaged or destroyed public facilities and infrastructure, are coordinated as part of the long-term community recovery under the National Disaster Recovery Framework (NDRF), which has superseded ESF #14.

#### F. Governor's Authorized Representative

Following a Presidential Disaster Declaration, Federal assistance will be provided in accordance with applicable laws, regulations and the FEMA-State agreement. In this agreement, the Governor will designate a Governor's Authorized Representative (GAR), who shall administer Federal disaster assistance programs on behalf of the State and local disaster assistance efforts with those of the Federal government. The GAR will be an executive staff member of NYSOEM.

#### G. Emergency Work and Protective Measures

Certain types of response and short-term recovery activities can be considered as emergency work and eligible for Federal reimbursement. Emergency work can be either Category A, which is debris removal, or as Category B, which involves emergency protective measures, such as sandbagging, erecting warning devices and search and rescue. Emergency work should be completed within 6 months from the date of the disaster declaration. For emergency debris removal to be eligible for reimbursement, it must eliminate an immediate threat to life, health and safety and/or eliminate an immediate threat to improved property, and avert or lessen the threat of a major disaster. It may also ensure economic recovery of the community and provide a benefit for the community at large.

The State can utilize a variety of emergency protective measures in responding to an emergency. To be eligible for reimbursement, emergency protective measures must eliminate or reduce an immediate threat to life, public health or safety. It may also eliminate or reduce an immediate hazard that threatens significant damage to improved public or private property.

#### H. Demobilization of Response Operations

In most cases, the level of State response activities will have a correlative effect on the level of recovery-related activities. Often, the level of response activity serves as a barometer in determining where the State is in its response to the emergency. During the height of the response and the "emergency phase", State Functional Branches can expect to support a variety of resource requests and agencies will conduct tactical operations in support of the response organization. As response operations and requests for assistance begin to diminish, recovery efforts begin to be incorporated into operational periods, operational planning cycles and tactical evolutions conducted in the field.

The collection of information on the status of State response activities will be captured by the Situation Unit. This information will be presented in the reporting process as part of the operational briefings to the agency liaisons, functional branches, the EOC Manager, and the MAC, if activated. These reporting processes will assist the Command staff in making a decision as to SEOC activation level and agency participation needed, if any, to support the State response.

If the decision is made to begin demobilizing, the Planning Section will incorporate the use of a Demobilization Unit, as needed, to develop a list of options in demobilizing the SEOC and forward positions that are staffed. The Demobilization Unit will be developed within the Planning Section to coordinate the release of incident resources to their home base or next assignment. Demobilization will be based on incident priorities, objectives, and the tactical needs of the incident. The Demobilization Unit is responsible for the preparation of the demobilization plan, and assisting sections/units in ensuring that an orderly, safe, and cost effective movement of personnel and equipment is accomplished. The Demobilization Unit will coordinate activities with the Command and General Staff, Section Coordinators and State Functional Branches. Once approved, the demobilization plan will be distributed to all State Agency representatives, Functional Branches and to Agency Departmental Operations Centers for implementation.

## Attachment 1: Listing of State Hazard-Specific, Functional and Support Annexes to the State Comprehensive Emergency Management Plan (CEMP)

### Hazard-Specific Annexes

- Coastal Storm Annex
- Pandemic Influenza Annex
- Hazardous Materials Emergency Contingency Annex
- Radiological Emergency Preparedness Plan
- Drought Management Annex
- State Energy Emergency Annex
- Appendix for Emerging Infectious Diseases in Non-Human Populations

### Functional (Operational) Annexes

- Animal Protection Branch Annex
- Critical Infrastructure and Key Resources Branch Annex
- Emergency Services Branch Annex
- Law Enforcement and Security Branch Annex
- Public Health Functional Branch Annex
- Transportation Infrastructure Branch Annex
- Human Services Branch Annex

### Functional (support) Annexes

- Emergency Mass Repatriation Annex (maintained by OTDA)
- Donations Management Annex
- Temporary Emergency Animal Sheltering Appendix
- National Veterinary Supply Appendix (Draft)
- Emergency Public Information Annex
- Logistics Annex
- Mass Fatality Annex

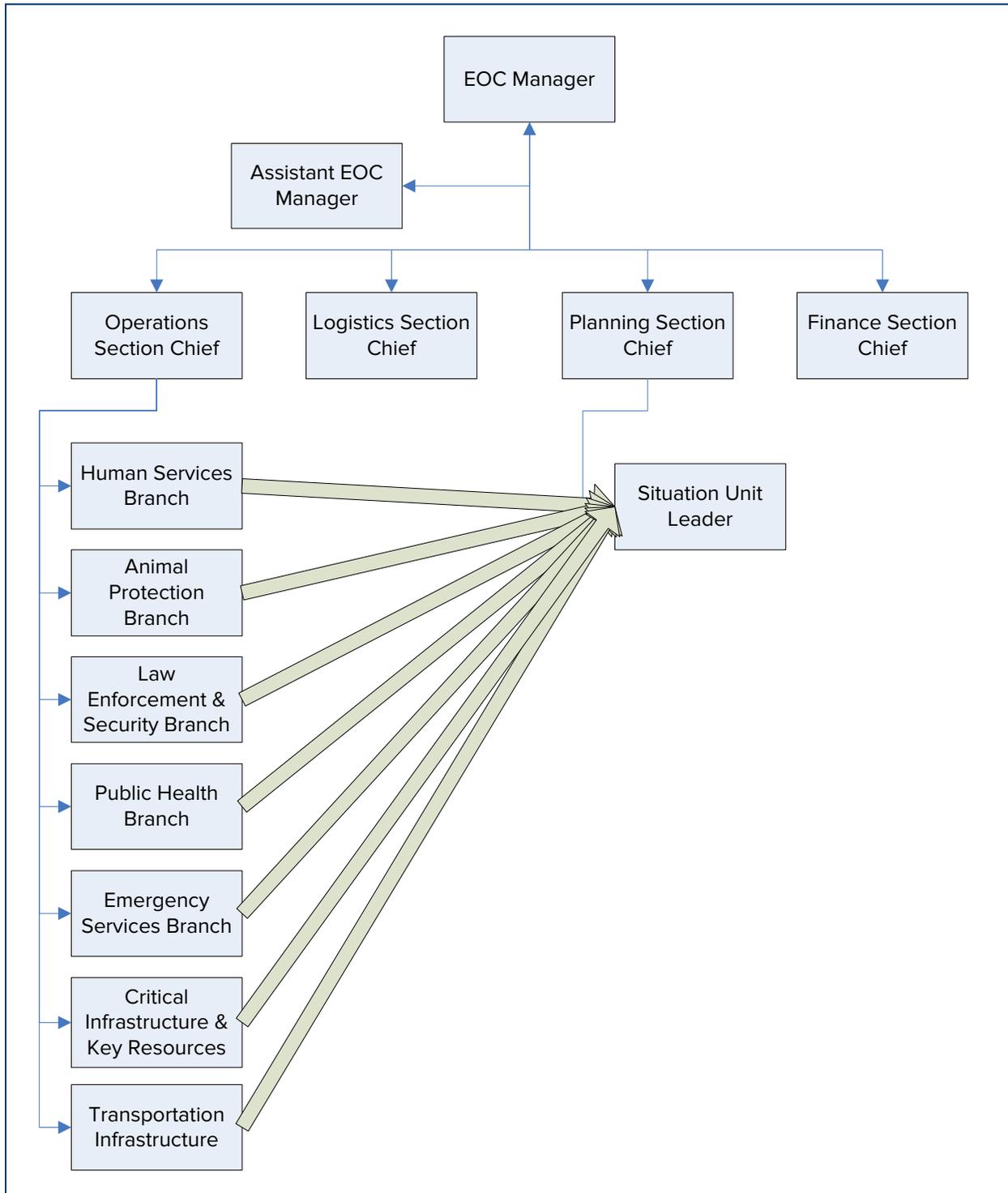
## Attachment 2: SEOC Activation Level Matrix

SEOC Activation Level	Level of Response Activity	EOC Posture and Function	ICS Components / Coordination
<u>Steady-State - Continuous Monitoring</u>	<ul style="list-style-type: none"> <li>Routine monitoring of the Statewide situation by State agencies.</li> </ul>	<ul style="list-style-type: none"> <li>NYSOEM maintains the State EOC in a readiness posture, while conducting normal day-to-day operations, and conducts surveillance and monitoring of any potential emergency.</li> </ul>	<ul style="list-style-type: none"> <li>Day to Day Organizational Structures within agencies.</li> </ul>
<u>Level 3 – Situation Room Activation</u>	<ul style="list-style-type: none"> <li>Activation of the appropriate agencies to more closely monitor a developing situation or an incident with limited impact and prepare to or provide any necessary assistance as allowed by statutory authority.</li> <li>Specific agencies may be operating as part of their normal role and function.</li> <li>This level may be utilized in a proactive measure for a potential situation, such as holiday gatherings and special events.</li> </ul>	<ul style="list-style-type: none"> <li>NYSOEM staff support the activation to provide basic response structure and increase preparedness posture.</li> <li>This level is considered as indicated, and may include a limited number of individual agencies (i.e., short list) or a limited representation of a functional group or groups.</li> <li>NYSOEM Regional Staff may mobilize or deploy.</li> </ul>	<ul style="list-style-type: none"> <li>Individual agency representation, as needed, or a limited number of groups. Resource management through Logistics and the AREP or functional group, if activated.</li> <li>Situational Reporting will be done from the State EOC and from each individual agency.</li> <li>Regional staff may be co-located at county EOCs or operational on scene.</li> </ul>
<u>Level 2 – Partial Activation:</u>	<ul style="list-style-type: none"> <li>Activation of additional agencies and/or functional groups to respond to an emergency or disaster situation that may have a broad and potentially devastating impact on the State. Upon the declaration of a State Disaster Emergency, the Governor may direct any and all agencies of State government to provide assistance under the coordination of the Disaster Preparedness Commission (DPC).</li> </ul>	<ul style="list-style-type: none"> <li>This level is considered as indicated, and may include some or all of the functional groups as well as individual agencies.</li> <li>NYSOEM and the activated Functional Group Supervisors will jointly identify which agencies of each Functional Branch are required to support the activation level and the current response.</li> <li>Agency Departmental Operations</li> </ul>	<ul style="list-style-type: none"> <li>At this point, a Multi-Agency Coordination (MAC) Group (virtual) <u>may</u> be activated to define the executive policies in the State’s response.</li> <li>Functional Branches process requests for assistance via Logistics (or their statutory obligations) through their home agency or ADOC.</li> <li>A Multi-Agency Situation unit <u>may</u> be activated to explore the anticipated response issues specific to the</li> </ul>

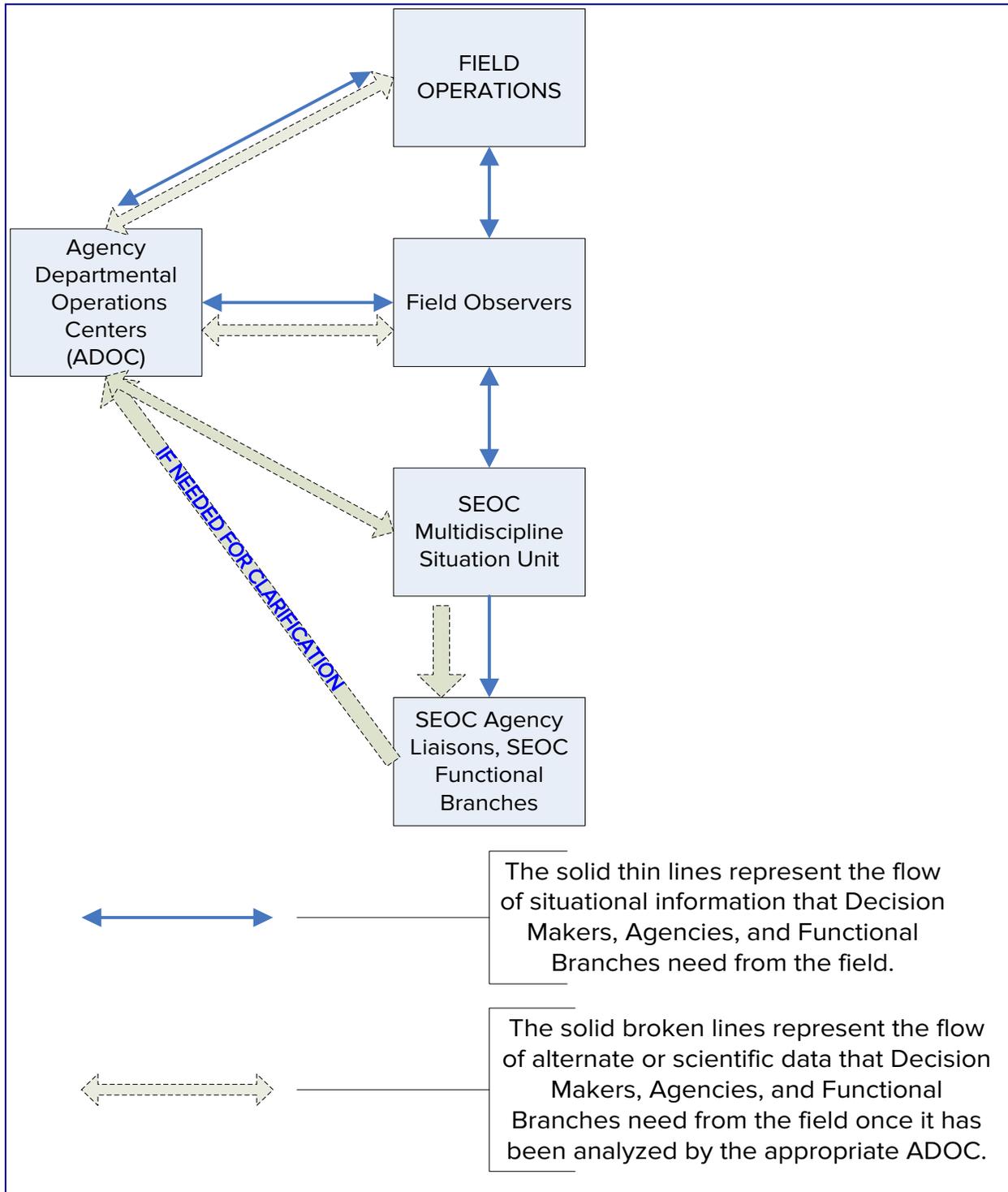
## Attachment 2: SEOC Activation Level Matrix

SEOC Activation Level	Level of Response Activity	EOC Posture and Function	ICS Components / Coordination
Level 2- Continued		<p>Centers likely to activate at this point.</p> <ul style="list-style-type: none"> <li>Regional Staff mobilize or deploy (if not already accomplished).</li> <li>IMTs may deploy at this point.</li> </ul>	<p>incident. If not activated, situational reporting will be done from the State EOC and from each individual agency.</p> <ul style="list-style-type: none"> <li>Agency regional staff support tactical operations, coordinate activities through the local command structure and agency ADOCs.</li> <li>IMT support to local government, or may serve as the State-counterpart to Federal response (i.e., PFO, FOSC); may establish Area Command, if appropriate.</li> </ul>
<u>Level 1 – Full Activation with National Response Framework (NRF) Coordination</u>	<ul style="list-style-type: none"> <li>A Presidential Declaration of “Major Disaster” or “Emergency” triggers this level.</li> </ul>	<ul style="list-style-type: none"> <li>This level is considered as indicated, and includes all of the State’s functional branches, individual agencies and Federal involvement.</li> <li>NYSOEM and the additional Functional Branch leaders will jointly identify which agencies of each Functional Branch are required to support the activation level.</li> <li>Agency Departmental Operations Centers activated.</li> <li>IMTs deployed as needed.</li> </ul>	<ul style="list-style-type: none"> <li>At this point, a Multi-Agency Coordination (MAC) Group (virtual or physical) <u>will</u> be activated to define the executive policies in the State’s response.</li> <li>Functional Branches process requests for assistance through the agency or ADOC in coordination with the SEOC.</li> <li>A Multi-Agency Situation unit <u>will</u> be activated to explore the anticipated response issues specific to the incident. Situational reporting will be done from the State EOC.</li> <li>Agency ADOCs support activities through activated groups and field components.</li> </ul>

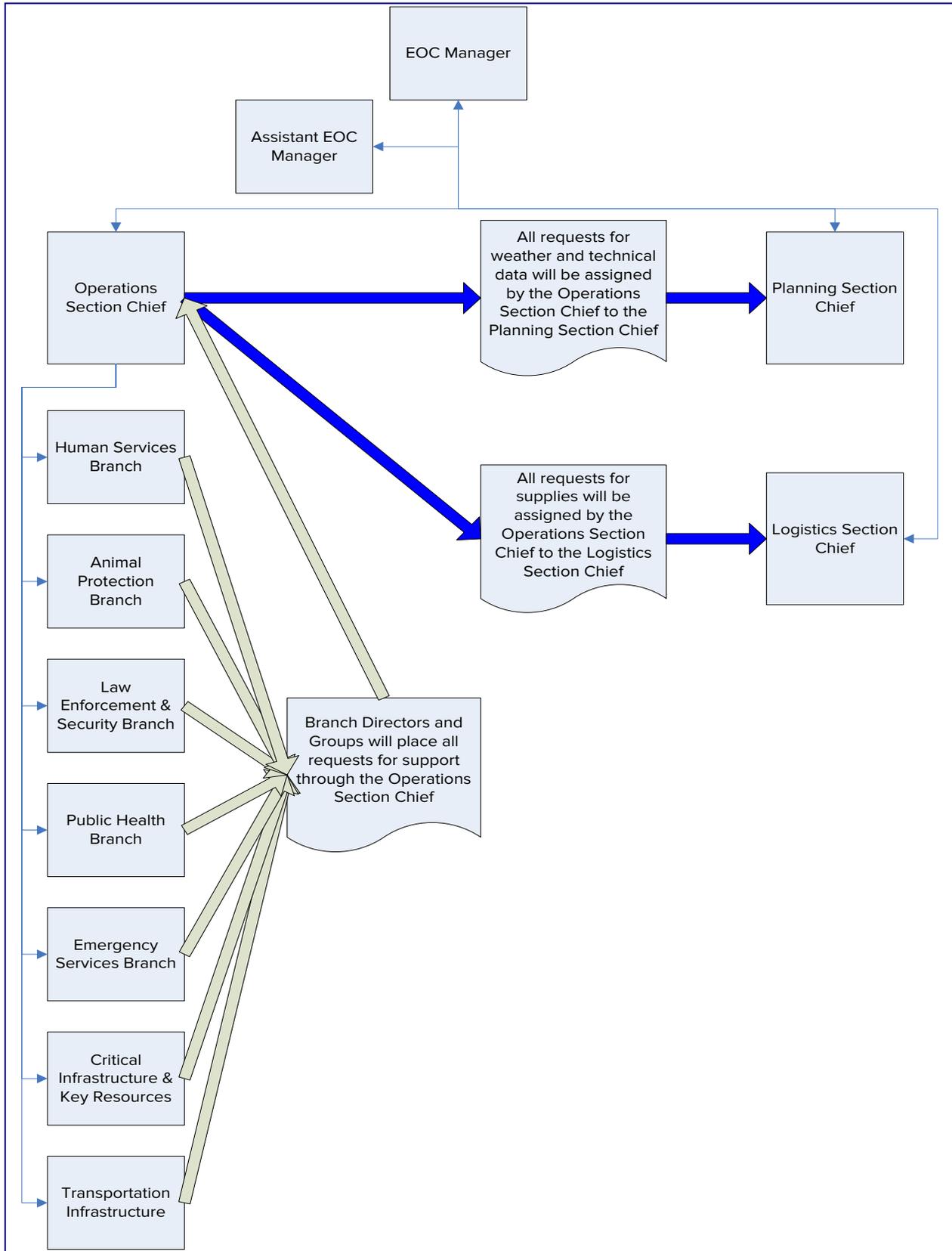
### Attachment 3: Functional Group Information Flow Process



Attachment 4: Information Flow Process with Agency Departmental Operations Centers



# Attachment 5: Internal Request Flow Process





# Attachment 7: Catastrophic Event Request Flow Process

