



ESF #5 Information and Planning

Rev. Final

Date: March 2024

ESF Coordinating Agency:

NYS Division of Homeland Security and Emergency Services/Office of Emergency Management (DHSES/OEM)

DPC Member Agencies:

Activated DPC Agencies – as warranted

Non-DPC Member Agencies:

National Weather Service – Albany (Federal)

EXECUTIVE SUMMARY

Emergency Support Functions (ESFs) provide the framework for coordinating response activities for disasters or emergencies that go beyond the capabilities of local resources. The ESFs are mechanisms used to group activities most often needed for responding to incidents. At the State level, coordinating and managing the delivery of information and planning during an active emergency falls upon the agencies that comprise the Disaster Preparedness Commission (DPC). The main objective for ESF #5 is to minimize the impact on communities by managing and providing timely, reliable, and accurate situational information aimed at informing decision makers and field-level responders.

SECTION I: General Considerations and Planning Guidelines

Introduction

The State of New York experiences a wide variety of disasters and emergencies that may result in loss of life, damage and destruction of property, and negatively impacts whole communities.

A disaster of significant magnitude, with substantial damage and destruction to communities, can cause immense human suffering. Disasters have the potential to exhaust resources at the local level, which warrants support from the State to effectively respond to the event. The State provides that support through the activation of the State Emergency Operations Center (EOC). The State EOC is the focal point for the State's response, which provides the direction and control of State ESFs through an Incident Command System (ICS) structure. The State will activate the ESFs that are essential in efficiently responding to the incident.

ESF #5 provides support to all agencies and Non-Governmental Organizations (NGOs) through the management, collection, evaluation, and dissemination of tactical information regarding the incident. In times of disaster, New York State agencies will be used to augment local resources to provide and administer programs with the focus of responding quickly and effectively to meet the needs of disaster survivors. The implementation of those activities is facilitated in part by the information captured by agencies in ESF #5.

Purpose

The purpose of the Annex is to identify the State's policies, authorities, and response structure that will be implemented to support planning and information activities to help communities severely impacted by an emergency or disaster. This document builds upon the structure of the State Comprehensive Emergency Management Plan (CEMP).

Critical Capability

ESF #5 would support the following Critical Capabilities in New York State: Planning and Information Sharing and Intelligence Analysis.

The State CEMP is comprised of three distinct, but interconnected volumes. They are:

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

This document identifies the concept of operations, lines of coordination, and describes how New York State will compile, analyze, and coordinate overall information and planning activities in the State EOC.

This document outlines the structure for collecting, receiving, verifying accuracy, and reporting information about the incident, including internally from ESFs to ESF #5 and from ESF #5 to leadership.

Scope

This Annex applies to all natural, technological, and human-caused disasters or emergencies that necessitate activation of the State EOC and a Planning Section. ESF #5 gathers information for the specific purpose of planning, decision making, developing incident reports, and incident action planning. Activities encompassed within the scope of ESF #5 include:

- Serve as a focal point for the receipt and distribution of incident information.
- Coordinate with regional, local, tribal, and private sector operations centers and emergency management organizations to facilitate the flow of situational information.
- Collect, process, analyze, and distribute critical information that guides response and short-term recovery activities.
- Through scientific sources, provide characterization of storm severity, impacts, forward speed, and cascading effects.
- Make estimates and predictions on chemical, radiological, or toxicological exposures.
- Collect and summarize damage assessment data, track local response activities, emergency declarations, and impacts.
- Coordinate incident planning in the State EOC including development of information products such as briefings, status board, reports, and legacy files and records.

In accomplishing its mission, ESF #5 will work closely with other State ESFs and credible sources to provide situation status updates to guide incident action planning activities.

Situation

New York State experiences a variety of disasters and emergencies that may result in the loss of life, or damage or destruction of property. New York State is the third largest state in populace. In 2019, the U.S. Census Bureau estimated that 19.4 million people resided across New York State, with an estimated 8.3 million people residing in New York City. New York State spans 54,556 square miles, ranking it the 27th largest state by size. New York State is bordered by six U.S. states and shares a border with Canada. Additionally, New York State touches the Atlantic Ocean, Lake Erie, and Lake Ontario.

Under the authority designated by State Executive Law Article 2-B, the Director of the State Office of Emergency Management will determine when the State EOC is activated and to what level of activation. In most cases, ESF #5 Information and Planning will be an essential activity every time the State EOC is activated. Information will be disseminated through established protocols in the State EOC.

The DHSES Strategic Plan 2021-2023 noted that there have been 76 major disaster declarations since 1954. Additionally, the State has responded to 29 terrorist plots since September 11, 2001 (9/11). The State EOC has been activated for a variety of incidents, including natural, technological, or human-caused events such as

Linkage to other State Plans

ESF #5 will be used to support the State Comprehensive Emergency Management Plan, Volume 2; as well as the following: State Radiological Emergency Preparedness Plan and State EOC procedures.

severe winter storms, flooding, ice jams, mass gatherings, 9/11, Superstorm Sandy, and Lake Ontario flooding. Information is essential during notice or no notice events, especially the need for quick, reliable, and accurate information. However, due to the nature and/or type of incident, information may take longer to receive, especially if there is damage to critical infrastructure or a verifiable boots-on-the-ground source is not in the immediate area.

The information and intelligence sharing that ESF #5 performs during State EOC activations allows the State and its stakeholders the ability to take proactive measures to lessen the likelihood and impact of emergencies, disasters, and hazards that threaten New York State. Additionally, ESF #5 assists with the management and maintenance of situational awareness which assists the State in responding to and recovering from disasters, emergencies, and incidents that occur in New York State.

ESF #5 will coordinate with other ESFs and/or Member Agencies to provide briefs, reports, or necessary information to the State EOC and/or State leadership. ESF #5 may coordinate with ESF #15 but it is outside the role of ESF #5 to release information directly to the public.

Planning Assumptions

1. ESF #5 will activate when the State EOC activates, regardless of activation level, in order to provide information and planning functions.
2. There will be an immediate and continuing need to collect, verify, process, and disseminate situational awareness information and identify urgent response requirements before, during, and immediately following a disaster or emergency.
3. In the early stages of a disaster, limited information may be available and/or the reporting of information may be inaccurate, interrupted, or delayed. The information that is available will need to be vetted and verified.
4. State agencies and field personnel will be the most vital sources of information regarding initial response needs.
5. Reporting of information may be delayed due to damaged infrastructure and the interruption of standard methods of communication.
6. ESF #5 will request information from other State ESFs operating in the State EOC and from field sources.
7. ESF #5 will coordinate, as needed, with ESF #13 and the Division of State Police to obtain intelligence information that supports the operation. The release and/or sharing of such information will follow established protocols regarding the handling of law enforcement sensitive information.
8. ESF #5 may request plume modeling capabilities from other State agencies or ESFs operating in the State EOC. This request may be done in coordination with ESF #10.
9. In a radiological emergency, ESF #5 will be augmented by a dose assessment and evaluation function, led by the NYS Department of Health.
10. ESF #5 does not release information directly to the public. The ESF may provide information to ESF #15 for dissemination, as appropriate.
11. The State will endeavor to integrate ESF #5 with Federal ESF #5 when deployed to the State EOC.

Concept of Operations

1. An event occurs with or without warning that warrants consideration to activate the State EOC. State OEM, as the Coordinating Agency, will determine which Member Agencies will be activated based upon the needs of the operation.
2. Initial emphasis will be focused on characterizing the incident to inform leadership of the situation. ESF #5 will make use of all available information sources and will be responsible to support briefings, produce reports, update information on an as needed or ad hoc basis, and display key information.
3. ESF #5 will be required to attend operational planning meetings necessary to coordinate incident action planning.
4. A determination will be made by State OEM leadership as to what type(s) of reports will be needed, the frequency of such reports, and identify any ad hoc reporting requirements.
5. In the event of a Federal declaration, State ESF #5 will integrate with Federal ESF #5, as required. In such cases, Planning Section efforts will integrate regarding incident action planning/plans, situational reporting, advanced planning, and demobilization planning.

Policy or Authorities

- NYS Executive Law Article 2-B
- NIMS Executive Order 26.1 of 2006
- Multiple State EOC policies/procedures

Annex Maintenance, Distribution, and Revision Process

The State OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the New York State CEMP. As required under New York State Executive Law Article 2-B, each ESF annex shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this Annex is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Annex updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

SECTION II: Preparedness

Mitigation

Volume 1 of the State CEMP is the *State Multi-Hazard Mitigation Plan*. 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 substantially impact the State. Mitigation planning efforts for technological and human-caused hazards are also recognized and are being implemented throughout the State. 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 the DHS/FEMA in December 2023.

All levels of government are responsible for implementing a dynamic community outreach (e.g. media and public information coordination release) campaign prior to and during emergency situations. Materials may include information such as, but not limited to, personal/home and pet preparedness, safety kits, safety tips, emergency communications, maps, emergency telephone contacts, and pre-identified potential shelter locations and their ability to handle persons with access and functional needs.

Risk Assessment

A variety of mechanisms are used to understand the various risks and associated threats and hazards facing the State. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal, the State must complete an annual Threat Hazard Identification Risk Assessment, or THIRA.

The State's THIRA is completed annually. The process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are mapped to the core capabilities in each of these ESF Annexes created under the State CEMP. Further, New York State has developed additional programs and methodologies to better understand risk at the local level. This includes a County Emergency Preparedness Assessment (CEPA), which the State has conducted in each of the 57 counties of New York and New York City. CEPA provides great insight as to the State's risk profile from a local level perspective.

Training, Exercising, and Testing

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

The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP) into its emergency management program. HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises. The State has instituted HSEEP into a host of exercise activities, including those that involve tests and activations of the State EOC. Further, some exercises are often linked to a specific grant requirement, while others are conducted as part of ongoing or existing programs, such as those for the Radiological Emergency Preparedness Program.

The State also utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises vary in scope and cross several state-level plans or annexes. As a point of reference, the planning process that resulted in the creation of all of the State's ESF annexes included an exercise component.

Capability Assessment

As part of the THIRA process, the State was required to assess its capabilities under Presidential Policy Directive (PPD-8). In doing so, the State assessed its Critical Capabilities using the construct outlined in the CEPA program. The assessment provided the State with information regarding statewide capability trends and potential gaps that can then be planned for and addressed. Those capabilities have been mapped or linked to each one of the ESF annexes under Volume 2 of the State CEMP.

Stockpiles, Supplies, and Specialized Equipment

The Planning Section in the State EOC possesses supplies and equipment that are necessary to perform the mission of ESF #5, such as computers, monitors, internet access, phones, maps, notebooks, and writing utensils. Additional supplies and technology assistance can be acquired through ESF #7 (Logistics), if needed.

Memorandums of Understanding (MOUs)/Letters of Agreement (LOAs)

There are currently no MOUs or LOAs for ESF #5.

SECTION III: Response

Alert and Notification

The State OEM, through consultation with the Governor's Office, will direct and implement State response activities as identified in the New York State CEMP. Depending on the nature and scope of the incident or event, participation from State agencies may vary.

The State Watch Center (SWC) serves as the focal point for receiving or providing notification of incidents in the State. In response to an incident that warrants an increase in State response posture, the SWC will be used to notify agencies that the State EOC is activating.

Activation

State OEM will assess the potential needs and demands of an incident, and then determine if the situation can be remedied through maintaining steady state posture or increasing posture to enhanced monitoring. If formal activation of the State EOC is necessary to effectively manage the response to the incident, the capabilities that are needed to support that activation will be identified, and agencies are notified to staff the State EOC using the ESF construct.

Flexibility will be key in activating this ESF. Not all incidents are the same, and not all activations of this ESF will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support the ESF may vary from incident to incident. The State CEMP identifies three activation levels of the State EOC. This ESF will activate to one of those levels as conditions warrant, with the State OEM serving as the ESF Coordinating Agency. These are:

NYS EOC Activation Levels

Level 3 – Limited Activation

Level 2 – Partial Activation

Level 1 – Full Activation

Level 3 Limited Activation:

- This level may be initiated to meet multi-agency coordination requirements deemed necessary for information, resources, and consequence management support efforts.
- Staffing may include several State EOC command and general staff positions, a select number of State ESFs, and initial representation from federal partners.

Level 2 Partial Activation:

- This level may be initiated to meet increasing multi-agency coordination requirements deemed necessary for information, resources, and consequence management support efforts.
- Staffing may include all State EOC command and general staff positions, multiple State ESFs, and additional representation from federal partners.

Level 1 Full Activation:

- This level is initiated when it is necessary to meet significant multi-agency coordination requirements for information, resources, and consequence management support efforts.
- Staffing may include all State EOC command and general staff positions, most or all of the State's ESFs, and a federal/State Unified Command element.

Direction and Control

The State endorses the development of one response organizational structure that will include all responding agencies. State agencies and ESFs will be organized under the framework of the National Incident Management System (NIMS) ICS as required by NIMS Executive Order 26.1 of 2006 and Homeland Security Presidential Directive (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 organizational structure of the State’s ESFs is inherently different than the Federal construct under the NRF. Except for ESF #5 (Planning), ESF #7 (Logistics), and ESF #15 (External Affairs), the State ESFs will be situated organizationally in the Operations Section and report directly to the Operation Section Chief (OSC) or Branch Chiefs, if established. ESF #5 is assumed by the Planning Section in the State EOC, ESF #7 is assumed by the Logistics Section in the State EOC, and ESF #15 is part of the Command Element.

ESF #5 is assigned under Planning. The Planning Section Chief or designee will be the primary interface with the Member Agencies of the ESF. All requests for information will be managed through the Planning Section Chief or designee.

Assignments of Responsibilities

ESF #5 will be required to maintain continuous data and information collection and analysis to have accurate and up to date situational awareness. Continuous information assessment activities include efforts to:

- Develop and maintain the Incident Support Plan (ISP).
- Coordinate on time, up to date reporting, and displaying of information.
- Assess status of deployed agencies and personnel.
- Report weather data, exposure levels, and areas of concern.
- Provide scientifically sound data and projections to the Command Element.
- Track and manage status of proclamations and or declarations.
- Support the development of incident priorities and objectives.
- Display critical information on maps, flow charts, and in NY Responds.

ESF #5 is responsible for preparation of Situation Reports utilizing ESF and field reports. LIRs are also generated from the information collected and analyzed by ESF #5. The following agencies will assist with these assignments and responsibilities.

1. Coordinating Agency - NYS Office of Emergency Management (OEM)

As the Coordinating Agency, State OEM will manage and oversee the State EOC Planning Section. The agency responsibilities are as follows:

- Overall management of the Planning Section during State EOC activations.
- Develop and maintain an ISP for each operational period during an activation.
- Provide support for operational briefings and participate in Command and General Staff meetings and/or all other meetings as required.
- Develop formal and/or ad hoc reports for situational awareness during each operational period, as required and requested by leadership.

Linkage to other Documents

Emergency Support Function #5 Annex will work in conjunction with:

- State EOC Policy/Procedures
- Job Aids/Checklist
- ESF #5 SOG

- File, store, and maintain all incident documentation and ensure proper display of critical information on maps, flow charts, and NY Responds.
- Integrate the State EOC Planning Section activities with FEMA response efforts, as needed.

2. ESF Member Agencies

Technical Specialists

Depending on the incident, some events may warrant the presence of a subject matter expert (SME) to help characterize the situation. In such cases, ESF #5 will solicit input from SMEs to provide input and support to the Planning Section. Examples may include, but are not limited to, the following:

- Fire behavior specialists;
- Health physicists;
- Meteorologists;
- Environmental engineers;
- Toxicologists;
- Epidemiologists; and/or
- Geographic Information System (GIS) specialists, etc.

National Weather Service (NWS)

Specific events may occur that warrant technical specialists to further refine weather data, forecasts, and risk information. As such, the NWS will provide a staff person to:

- By using existing data, provide technical analysis and review of current forecast models and summaries.
- Provide insight into weather forecasting and variables to consider, such as timing, type of precipitation, potential impacts, and intensity.
- Provide additional graphics for display and decision-making purposes.
- Provide operational briefings to State agencies in the State EOC.

Radiological Assessment and Evaluation

The radiological assessment and evaluation elements are functions of multi-agency technical specialists. The concept of radiological assessment and evaluation originates in the State's Radiological Emergency Preparedness Program and has a direct application for accidents involving commercial nuclear power plants. The purpose of such an assessment is to determine the potential or actual consequences of a radiological emergency to aid in supporting informed decision making and protective actions. Armed with information, the State can identify and implement protective actions to reduce or eliminate the risk of radiation exposure. In response to radiation emergencies, the State Department of Health Bureau of Environmental Radiation Protection (DOH/BERP) is the lead agency/bureau in assessing health impacts. DOH/BERP can be provided technical support from other bureaus and agencies, as appropriate. These include:

- The NYS Department of Health Laboratory of Inorganic and Nuclear Chemistry (Wadsworth Center) will perform laboratory analysis of samples collected.
- The NYS Department of Environmental Conservation (DEC) will provide staff to support in meteorology, dose assessment, environmental monitoring, and sampling.
- The NYS Department of Agriculture and Markets (DAM) will provide staff to support sampling of milk and evaluation of the need for protective actions relating to the milk and food supply.
- The Department of Public Service (DPS), NYS Energy Research and Development Authority (NYSERDA), and DOH will provide staff to assist in assessment and evaluation of the status of fixed-site reactor systems.

The State Assessment and Evaluation (A&E) unit has various resources to use during the assessment phase including:

- Relayed data on the prevailing radiological release rates.
- Meteorological conditions and real-time parameters.
- Radiological laboratory analysis.
- On-going assessments from nuclear safety specialists from the NFO, NRC, and State agencies.
- Field and other environmental monitoring data.
- Federal and National lab sources, such as:
 - National Atmospheric Release Advisory Center (NARAC) analyses;
 - Federal Radiological Monitoring and Assessment Center (FRMAC); and,
 - U.S. Department of Energy (DOE) Radiological Assistance Program (RAP) teams.

Integration of Federal ESFs

The Federal government organizes its response resources and capabilities under an ESF construct. Similar to New York State’s ESF construct, Federal ESFs are multi-agency operational components that serve as the primary means for coordinating Federal resources and capabilities into New York State. The Federal ESFs bring together a wealth of capabilities of Federal departments and agencies and other national-level assets. In doing so, they are organized to provide the operating structure for building, sustaining, and delivering Federal response core capabilities in support of the State’s Critical Capabilities. Integration and coordination are key to leveraging the resources of each Federal ESF. As such, New York State ESF #5 will serve at the primary integration point for Federal ESF #5. The table below summarizes Federal ESF #5 and indicates the response core capabilities that the ESF most directly supports. Detailed response capabilities and activities are listed in each Federal ESF Annex.

ESF #5—Information and Planning ESF Coordinator: DHS/FEMA
Key Response Core Capabilities: Situational Assessment, Planning, Public Information, and Warning
Supports and facilitates multi-agency planning and coordination for operations involving incidents requiring Federal coordination. Functions include but are not limited to: <ul style="list-style-type: none"> • Incident action planning. • Information collection, analysis, and dissemination.

SECTION IV: Recovery

Short-Term Recovery

There is no clear delineation of when disaster response activities transition into short-term recovery activities. As with all disaster and emergency-related activities, any transition to a new phase will be dependent upon the needs of the response and the identified needs of the individuals/communities affected. In general, disaster response addresses the immediate aftermath and life safety issues of a disaster or emergency, while short-term recovery activities begin as the need for immediate life-saving activities diminishes. At times, these phases will often overlap with one another.

Demobilization

Demobilization of Member Agencies and ESFs from the State EOC will occur based upon operational needs and will be jointly determined by State OEM and ESF leadership. Based upon the needs of the operation, ESFs may begin to demobilize during the response/short-term recovery phase. However, it should be noted that Member Agencies may be subject to a rapid recall for reactivation of the ESF, if needed, based upon operational needs.

In most cases, demobilization of an ESF will include the release of the Coordinating Agency and all Member Agencies. However, there may be instances where the ESFs can be partially demobilized, allowing Member Agencies to be released as the need for their representation and capability in that ESF is no longer necessary.

The process of demobilizing ESF #5 will likely occur in unison with the remainder of the State EOC. Agencies that are called upon to support ESF #5 will be released, as conditions warrant. However, unique circumstances may warrant prolonged or supplemental situational reporting and information sharing during a chemical or radiological emergency. In such cases, a scientific support function may continue for an extended period in the State EOC, or virtually if the reporting requirements can be met remotely.

Transition to Long-Term Recovery

As the urgency of a response lessens and communities begin to focus their efforts on implementing recovery programs, the State's focus will also shift to the long-term recovery needs of the affected areas. In Presidential Disaster Declarations, this will likely include the activation of a Federally established Joint Field Office (JFO). JFOs are established, operated, and maintained by the DHS/FEMA, and will include the temporary recovery organization structure put in place to support recovery.

It is assumed that ESF #5 will demobilize as short-term recovery is evident. There is no expectation that ESF #5 will remain activated into long-term recovery. However, certain radiological emergencies may warrant that a dose assessment function continue for an extended period.

Implement Recovery Support Functions (RSFs)

As JFO activation occurs, the Federal government will transition out of the ESF construct and implement the Recovery Support Functions (RSFs). RSFs bring together the core recovery capabilities of Federal departments and agencies to focus on community recovery needs. The RSF structure includes the following: Community Planning and Capacity Building; Economic, Health and Social Services; Housing; Infrastructure Systems; and Natural and Cultural Resources. RSFs are intended to facilitate the coordination and delivery of Federal assistance to supplement the recovery efforts of local and State governments and are designed to operate within a timeframe of months to years.

As the Federal government transitions their ESF construct to RSFs, the State's ESF posture will be required to transition into the RSF construct as well. As such, State agencies will transition from their assigned ESF role to the appropriate RSF, as warranted. It is understood that in most cases, ESF #5 will have no transition into any of the RSFs. However, specific cases may warrant a scientific assessment and evaluation function to help inform long-term recovery operations and site optimization. In such cases, the scientific assessment and evaluation function will need to continue in the State EOC or virtually until the risk of radiation exposure is no longer a concern.

Attachments

- Standard Operating Guide (SOG) for Direction and Control