

NEW YORK STATE COMPREHENSIVE EMERGENCY MANAGEMENT PLAN

Volume 3: Long-Term Recovery Plan



**Disaster Preparedness
Commission**

**Prepared by the New York State
Disaster Preparedness Commission**

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List of Plan Revisions

DATE OF REVISION	SUBJECT MATTER	PAGE(S)	REVIEWED BY
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New York State Comprehensive Emergency Management Plan

Volume 3 - Long-Term Recovery Plan

Section I: General Considerations and Planning Guidelines

A. INTRODUCTION

The State of New York experiences a wide variety of disasters and emergencies that may cause loss of life, damage and destruction of property, and may impact or negatively affect economic instability. The occurrence of a disaster or emergency can disrupt normal functions of government, communities, families, businesses and the economy, as well as cause great human suffering.

A disaster of significant magnitude, with substantial damage and destruction to a community's social, physical and economic infrastructure, will entail a recovery process that can be lengthy and very costly. The scope and duration of long-term recovery following a disaster is dependent on many things, including the type and scale of the disaster.

Long-term recovery assumes that response activities have ended and short-term recovery actions are at least underway or complete. Long-term recovery refers to the need to re-establish a community to pre-disaster condition or better, and to enable the community to sustain itself. The long-term recovery process involves local government, business owners, and residents all focused on rebuilding and restoring their community and possibly making it more disaster resistant. Recovery following each disaster is unique and can take weeks to years for a community to fully recover.

Significant state involvement in long-term recovery will occur when a disaster is severe and large-scale that warrants a State or Federal disaster declaration, and when local resources alone are insufficient to meet the community's recovery needs. The active involvement of State and Federal programs and resources will therefore be necessary to aid in redevelopment efforts. As a result, the State must provide leadership and direction to recover from the dangers and problems arising from such situations.

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 3 of the State Comprehensive Emergency Management Plan, *Long-Term Recovery Plan*.

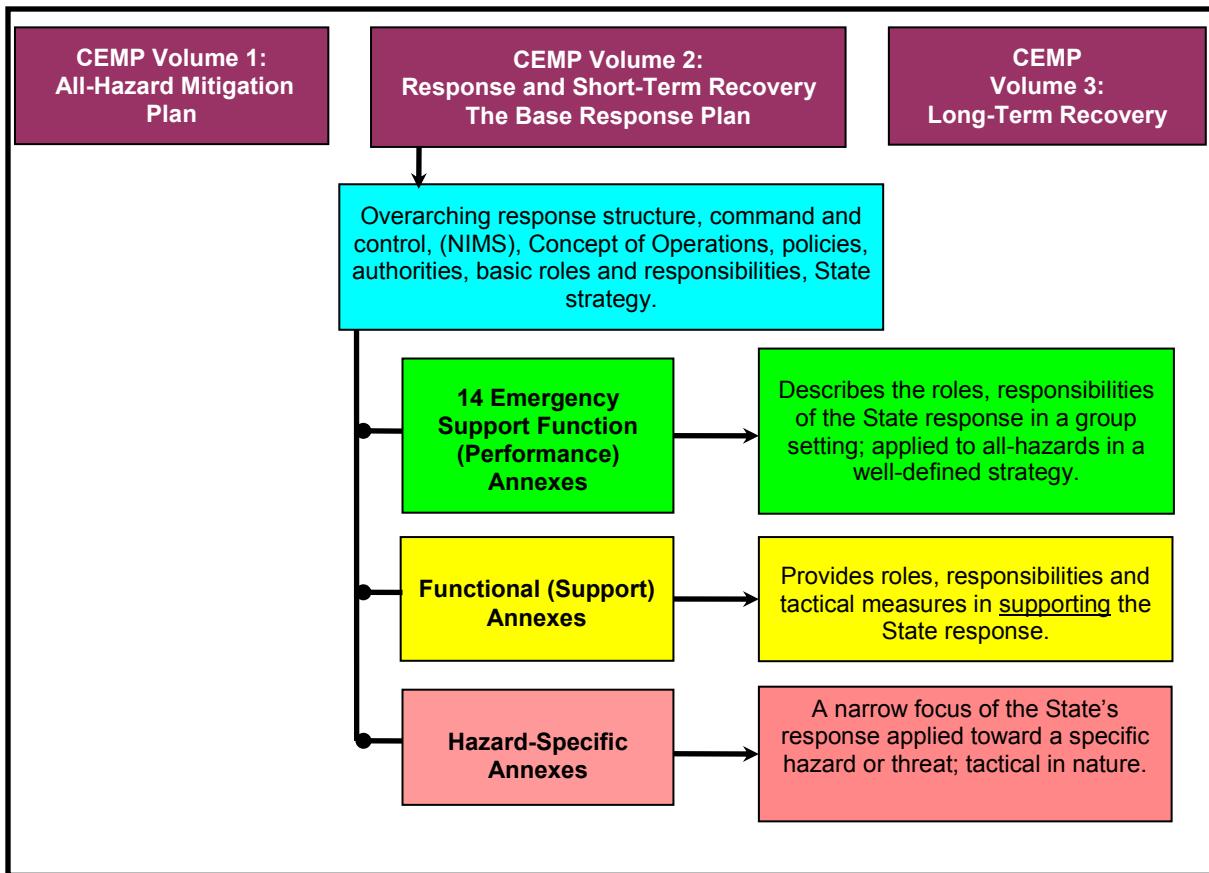


Figure 1: Structure of the State Comprehensive Emergency Management Plan

B. PURPOSE

The purpose of this plan is to identify the State's overarching policies, authorities and recovery organizational structure that will be implemented following an emergency or disaster situation that warrants State recovery efforts. The Long-Term Recovery Plan will be implemented when most or all infrastructure that supports the social, cultural, political, economic and environmental elements of a community have been severely impacted. Depending on the type of disaster, (natural, technological, or human caused) and the extent of the disaster, undesirable long-term effects and challenges could occur in the recovery process.

This document will benefit local governments through problem solving, improving access to resources, and by fostering coordination among State and Federal agencies, non-governmental partners, tribal territories, and the private sector to enable full community recovery from the long-term consequences of disasters. In addition, this plan will identify lines of coordination that can be used to implement appropriate recovery measures, as well as outline the basic framework under which the various recovery agencies will operate. It will also serve as a guide for decision-makers as they commence and manage the long-term recovery process.

This plan will outline and make the best use of the recovery support functions as required in the National Disaster Recovery Framework (NDRF). The NDRF identifies the Federal response that

outlines how recovery support elements to disasters will be implemented. It provides a flexible and actionable structure that enables disaster recovery managers to operate in a unified and collaborative manner. It also focuses on how best to restore, redevelop and revitalize the health, social, economic, natural and environmental fabric of the community and to build a more resilient nation.

C. SCOPE

This document applies to all natural, technological and human-caused emergencies or disasters where disaster recovery thresholds may have been met, necessitating the use of State and/or Federal resources for damage assessment, disaster declarations and recovery activities. This plan defines the roles and responsibilities of State and Federal agencies, as well as non-governmental agencies.

D. SITUATION

This plan is established based on the premise of a significant disaster that may cause extensive damage to transportation systems, utilities, public buildings, private housing, businesses and the environment. Depending on the type and extent of the disaster or emergency, undesirable long-term health effects and contamination of animals and food, above established health standards might also occur. Many private and public facilities and buildings may need to be repaired, demolished, or isolated to ensure public safety.

There may be widespread disruption of energy sources resulting in prolonged power failure. Commercial telecommunication facilities might experience widespread damage, impairing communications throughout the disaster area and between the disaster area and other parts of the State. Damage to fixed facilities that generate, use, store or dispose of hazardous materials could result in the release of hazardous materials into the environment. The remnants of weapons of mass destruction (WMD) and other hazardous materials may be present in the disaster area, requiring the appropriate decontamination or degradation time to reach permissible exposure limits for the general public.

The damage resulting from the disaster or emergency may include loss of life support systems and the loss of regional economic, physical, and social infrastructures. Thousands of victims may be forced from their homes, and large numbers of deaths and injuries may occur. Hospitals, nursing homes, pharmacies, and other health/medical facilities may be damaged or destroyed. The number of victims requiring attention may overwhelm medical and health care facilities that remain operable. Medical supplies and equipment may be in short supply. As a result of these impacts, disaster recovery programs for individuals and/or the public sector will need to be implemented to ensure effective and timely recovery.

New York State is no stranger to catastrophic events. In the past 20 years, New York State has had 29 major presidential disaster declarations; every county in the State has been affected by a disaster. Flooding is the most frequent hazard faced by the State, with over 60% of the State's declarations based on flooding, including flood damage sustained from hurricanes and tropical storms. The costliest disaster to date for the State is Hurricane/Super Storm Sandy.

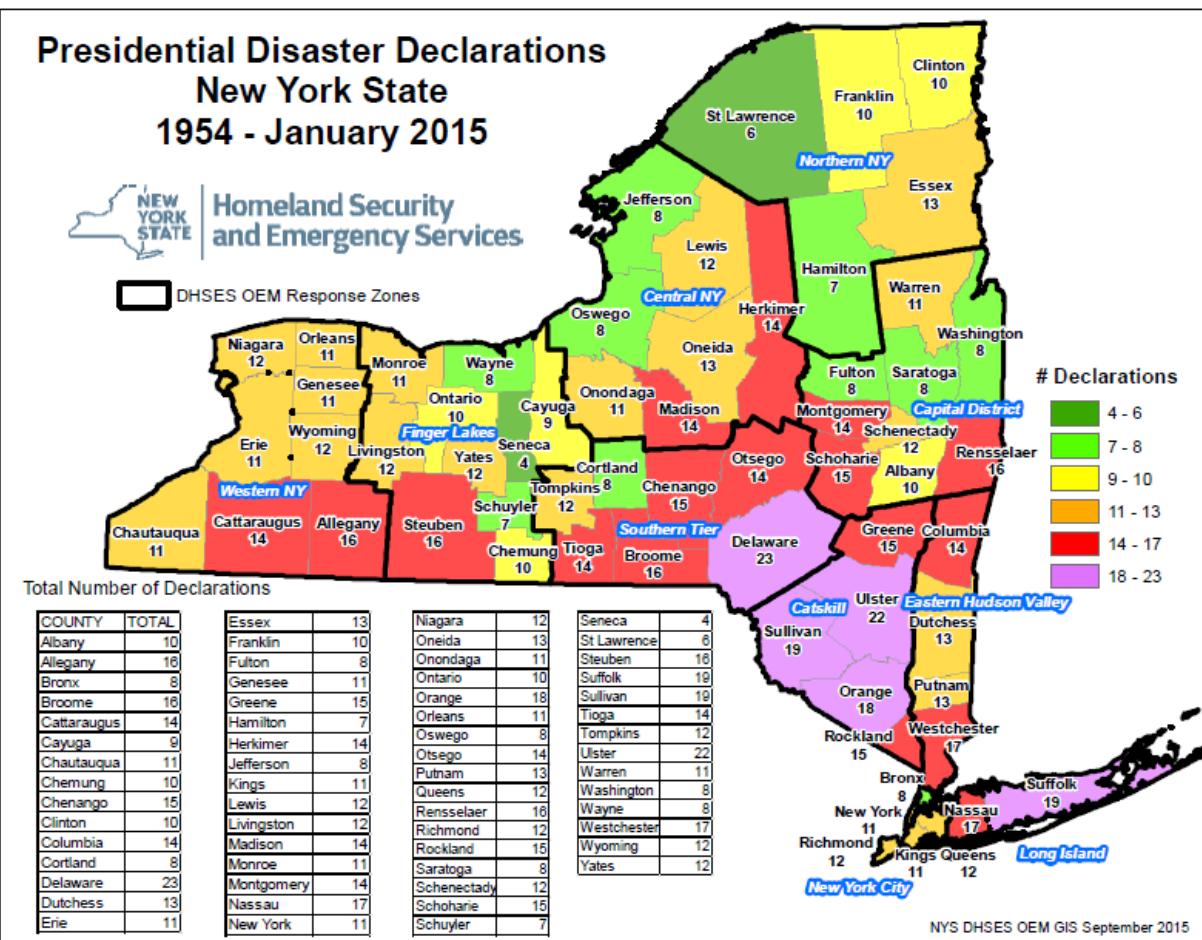


Figure 2: Presidential Disaster Declarations in New York State since 1954

E. ASSUMPTIONS

The following assumptions can be made in managing the recovery activities subsequent to a disaster:

1. 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.
2. Collateral events, such as displaced citizens, and infrastructure failure, may also increase the impact on the community, multiply property losses, and hinder the long-term recovery efforts.
3. An incident may affect the State at any time, possibly with no warning, and may result in death, injury, and damage producing substantial consequences.
4. An incident may necessitate evacuation and sheltering of the public requiring accessible interim or long-term housing.
5. Homes may be destroyed or could be uninhabitable for weeks or even months requiring additional transportation support to school and work for families displaced from their communities.

6. Considerable damage could occur to the infrastructure and/or environment, which could cause a large quantity of contaminated debris.
7. Damaged infrastructure may be uninsured or under insured.
8. A disaster may cause the mass displacement of individuals and families, including those with specialized needs.
9. An incident may cause disruption of health care facilities, necessitating movement of patients, restricting elective procedures, and complicating necessary procedures.
10. Businesses in the disaster impacted area may be closed, possibly for an extended period of time, causing great economic strain and supply chain concerns for residents.
11. Some victims of a disaster may suffer extreme emotional and physiological issues.
12. In certain circumstances, there may be laws enacted that prohibit rebuilding in the same area, which will hinder recovery activities.
13. Federal assistance will be required to augment local and State efforts in relieving problems that are beyond the capabilities of both local and State governments.
14. Local, State and Federal assistance will be focused on how best to restore, redevelop and revitalize the health, social and economic, natural and environmental fabric of the community.
15. The implementation of effective long-term recovery measures requires detailed multi-discipline impact assessments and planning as precursors to redevelopment; such efforts cannot be accomplished in a short period of time.

F. CONCEPT OF OPERATIONS

Many disasters, due to extent of impact and complexity of the recovery process, will require significant coordination and technical support. Entities to be coordinated include multiple State agencies, Federal agencies, local and non-governmental agencies and the private sector.

When an incident extends beyond local capabilities, State assistance will be requested. Federal assistance will be supplemental to State and local assistance. State response activities will be managed as indicated in the State Comprehensive Emergency Management Plan, Volume 2, *Response and Short Term Recovery*.

During the response phase of an emergency, the State will determine if a Federal declaration is necessary. The first step in the declaration process is a formal request for a joint Preliminary Damage Assessment (PDA) to estimate the extent of the disaster and its impact on households and public facilities. PDAs are performed only in the impacted counties.

At the State's request, local, State, and Federal officials conduct a joint PDA to estimate the extent of the disaster damage and its impact on individuals as well as community, economic stability and public infrastructure. The gathering of damage estimates establishes the gravity and magnitude of the incident, and serves as an indicator for determining whether the resources needed for response and recovery go beyond the State and local government's capability.

Many factors go into the decision to grant a Federal declaration. Two factors that carry the most weight are: resources and costs beyond the combined State and local means, and previously impacted areas. The President of the United States can declare a Major Disaster Declaration or an Emergency Declaration for any event for which the President believes the incident has caused damage of such a degree of severity that it is beyond the combined capabilities of the State and

Local governments. The Governor of New York State must certify the incident exceeds the capabilities of the State and must submit the request to the President. A Federal declaration may be restricted to direct federal assistance for emergency work or may provide a wide range of Federal assistance programs for individuals and public infrastructure, including funds for emergency and permanent work.

If a Federal declaration is declared, the Governor will appoint a State Coordinating Officer (SCO) to work in conjunction with a Federal Coordinating Officer (FCO) at a Joint Field Office (JFO). A JFO will be established by FEMA. The Governor will also appoint a Governor's Authorized Representative (GAR) and an Alternate Governor's Authorized Representative (AGAR), who are responsible for administering Federal disaster assistance programs on behalf of the State.

The Federal response will include the implementation of the Federal Recovery Support Functions (RSFs). The RSFs provide structure to facilitate problem solving, improve access to resources, and foster coordination among State and Federal agencies, non-government partners and stakeholders. Each RSF has a coordinating and primary Federal agencies, as well as supporting organizations that operate together with local, State and tribal government officials, non-governmental organizations (NGOs) and private sector partners. State recovery efforts should align to meet this structure.

The long-term recovery needs of the community or region will be fully assessed to identify effective options. RSF activities will be implemented to assist communities and, if possible, accelerate the recovery process. FEMA will reimburse local governments for a portion of eligible repairs to government and certain private non-profit organizations buildings and infrastructure; completing these projects and receiving these funds can take from months to years.

Long-term recovery responsibilities will be distributed among Federal, State, local governments and NGOs. Appropriate agencies will be tasked to provide support for the identified long-term recovery needs.

G. AUTHORITY

The authority to undertake this plan rests on several State/Federal Laws, Executive Orders, and policies, including the following:

- NYS Executive Law – Article 2B, Sections 22c, 23c, and 28a
- New York State Constitution
- 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)
- Robert T. Stafford Disaster Relief and Emergency Assistance Act, P.L. 93-288
- Code of Federal Regulations, 44 CFR
- Homeland Security Presidential Directive – 5 (HSPD-5)
- National Disaster Recovery Framework (NDRF)
- National Response Framework (NRF)
- Post-Katrina Emergency Management Reform Act of 2006
- Sandy Recovery Improvement Act of 2013

The Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended (the Stafford Act) was enacted to support tribal, State, and local governments and their citizens when disasters overwhelm the local capacity. This law establishes a process for requesting and obtaining a Presidential disaster declaration, defines the type and scope of assistance available, and sets the conditions for obtaining that assistance.

The State may use existing or new authorities to create a long-term recovery body to guide the redevelopment of the impacted community. Long-term recovery efforts will be coordinated in a manner that maximizes overall benefit to the impacted community or region.

H. PLAN MAINTENANCE

The Long-term Recovery Plan is a living document that will continually evolve as the Disaster Preparedness Commission reviews the State's long-term recovery activities following disasters, incidents and exercises. The Division of Homeland Security and Emergency Services (DHSES) will be responsible for managing and coordinating updates to this plan. This volume will be updated annually on or before February 15th of each year, 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.

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Section II: Preparedness

Recovery begins with pre-disaster preparedness, which includes a wide array of planning activities. The ability to effectively manage and possibly accelerate the recovery process begins with efforts in pre-disaster preparedness, mitigation and recovery capacity building. These efforts result in an improved ability to withstand and recover quickly from disasters. A successful recovery process also considers the risks that may pose additional recovery challenges.

It is essential to communicate and share information across State agencies with recovery responsibilities to ensure all policies, procedures and plans are up to date. The State also uses past events as a valuable tool to track and implement lessons learned from previous disasters or incidents, and to help improve future recovery efforts.

There are well-established, pre-disaster partnerships at the local, State, tribal and Federal levels, including those with the private sector and NGOs, which help to drive a successful recovery. It is critical that disaster recovery officials recognize the importance of partnership and create coordination opportunities during pre-disaster planning with the private sector. The resources and capabilities of the private-sector, including utilities, can play an important role in encouraging mitigation and creating greater resilience in a community. If local leadership and the business community work together pre-disaster to develop a conceptual recovery plan, the community will be better prepared to recover post-disaster. Additionally, the private-sector owns and operates the vast majority of the Nation's critical infrastructure, such as electric power, financial and telecommunications systems. These entities must play a major role in the recovery of a community or region as a whole.

As major stakeholders in recovery efforts, local government, businesses and critical infrastructure owners and operators have an important responsibility to improve disaster resilience by mitigating risks and increasing disaster preparedness. As such, all public and private organizations should have a viable Continuity of Operations Plan (COOP) or Continuity of Government Plan (COG).

Continuous dialogue among the various State agencies and other stakeholders is important in the development of long-term disaster recovery plans before a disaster occurs.

A. MITIGATION IN LONG-TERM RECOVERY

As mentioned, Volume 1 of the Comprehensive Emergency Management Plan is the State Multi-Hazard Mitigation Plan. New York State participates in Federal 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.

Mitigation is the ongoing effort to reduce a disaster's effect on people and property. This concept means taking a broad range of actions to reduce or eliminate long-term risk from hazards and their effects. Building for increased wind speeds in coastal zones, for fire resistance in areas of fire danger, or earthquake resistance in seismic zones are all examples of recommended mitigation practices. The ability to effectively recover from a disaster starts with pre-disaster activities, including mitigation actions.

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.

B. TRAINING AND EXERCISING

The State of New York sponsors, conducts, coordinates and participates in a variety of training and exercising programs to improve its ability to better prepare for, respond to and recovery from disasters. The State also participates in a wide variety of specialized training, including training to meet Federal program and grant requirements. In addition, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline.

The State utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises provide valuable input for plan development and help to ensure that the plan is effective in its scope and application.

Recovery Exercises:

- Public Assistance, Mitigation, Individual Assistance and Disaster Recovery Finance units all participate in annual NYSOEM full scale EOC activation joint Federal/State response/recovery exercises (Mohawk Rising 2016, Gotham Shield 2017). All sections provide planning support for development of Recovery component, cross train staff in EOC ICS roles for support during Response phase and lead Recovery phase of exercise.
- In addition to the annual exercise program, the Recovery Units conduct both internal and external training for Recovery staff and stakeholders. Recovery units cross train within the programs. Individual units maintain records of training attended by staff. Examples of training include, but are not limited to, the following:
- ***Mitigation***
 - Staff Training – Hazard Mitigation Assistance Application Development and Review, Procurement Record Preparation, Benefit Cost Analysis Development, FEMA eGrants system, NY Recovers system, Mitigation Project Management, Environmental and Historic Preservation Considerations.
 - Workshops for External Customers – HMA Programs (Disaster/Non-Disaster), Mitigation Cost Effectiveness Requirements Overview, Mitigation Application/Letter of Intent Preparation, Mitigation Project Management.

- ***Public Assistance***
 - Staff Training – Emergency Management Mission Integrated Environment (EMMIE) System, NY Recovers project processing system, DHS Procurement Requirements, Public Assistance Grant Administration and Policy, Federal Declaration Process, Environmental and Historic Preservation Requirements, Appeals Process, P.E. annual certifications, Cost Estimating, Insurance Review.
 - Workshops for External Customers – Applicant Briefings, County and Local Officials Applicant Public Assistance Training (APAT), State mandatory Tier Three County Officials (PA Component), Private Non-Profit PA Workshop, Original Nations (Tribal) PA Workshop, County Executive/Council of Mayors PA Overview, OIG/DHSES PA Familiarization.
- ***Individual Assistance***
 - Staff Training – Developing and Managing Volunteers, Role of Voluntary Organizations in Emergency Management, Introduction to Individual Assistance, Individual Assistance Preliminary Damage Orientation, National Disaster Recovery Framework Overview.
 - Workshops for External Customers – Conducting Individual Assistance Damage Assessments, State mandatory Tier Three County Officials (IA Component), FEMA/State IA Program Overview, Developing Local VOADs.

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Section III: Response

During the response phase of the incident or disaster, the State Emergency Operations Center (SEOC) will be activated with the appropriate agencies, and may include activation of the State's Emergency Support Functions or ESFs. 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 (ICS) 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 designated State Coordinating Officer (SCO) will have the overall responsibility for coordination of State resources and Federal assistance in support of the State and local response to the incident. The Director of the New York State Office of Emergency Management (NYSOEM) is typically the SCO.

As the SEOC begins to demobilize, the JFO will begin activation to effectively provide for information sharing and the delivery of disaster assistance. Under certain circumstances, due to geographic necessity, an alternate field office (AFO) may be opened to provide services closer to the impacted area.

A. DIRECTION AND CONTROL

The chair of the Disaster Preparedness Commission (DPC) directs and coordinates the State's disaster activities in New York State following the declaration of the State Disaster Emergency by the Governor.

Certain non-declared 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. The Director of NYSOEM will implement the State's MAC Group to facilitate the coordination of the State response and/or mobilization efforts using the organizational framework outlined in Volume 2 of the State CEMP.

The State possesses fourteen ESFs to support its preparedness, response and recovery efforts. When any or all the State ESFs are activated in support of the State response, they will collectively utilize the resources available to them pertinent to the operation.

If Federal involvement is needed or forthcoming, the State will request assistance from Federal agencies, through existing Federal compacts, Federal contingency plans or the President. Federal ESFs will integrate with the State ESFs during the response. As the State transitions to recovery, State recovery activities will align State agencies with the appropriate RSF.

Once the President has declared a Federal disaster and the type of assistance granted, individuals and households may start to apply for Individual Assistance (IA) and jurisdictions may apply for Public Assistance (PA). These programs are designed to help meet disaster applicants' rebuilding of infrastructure, sustenance, shelter and medical needs during their path to recovery. IA disaster assistance can include: Mass Care and Emergency Assistance; Voluntary Agencies; Individuals and Household Program; Small Business Administration; Disaster Unemployment Assistance; Crisis Counseling Services; and Disaster Legal Services. The SBA program and the Governor's Office state run IA programs may also be available forms of assistance under certain circumstances. PA disaster assistance may include Debris Removal, Emergency Protective Measures, Permanent Work to Roads and Bridges, Water Control Facilities, Buildings and Equipment, Utilities Parks, Recreations Facilities and Other Facilities and the Disaster Case Management (DCM) program.

In smaller events impacting homes and/or business, the Governor can request the SBA Loan Program be implemented, whereupon a stand-alone SBA declaration, Physical Injury Disaster Loans and Economic Injury Disaster Loans can be made available.

B. ROLES AND RESPONSIBILITIES

It is vital to determine/identify responsibilities for recovery activities, and provide a mechanism to maintain continuity in program delivery among Federal, State, local, and tribal governments and other involved parties, to ensure follow-through of recovery efforts. The private sector plays a critical role in establishing public confidence immediately after a disaster. When the private sector is operational, the community recovers more quickly by retaining and providing jobs, a stable tax base, and a resource for residents in the affected area.

The nonprofit sector plays a vital role in the recovery of impacted communities, particularly in a large-scale or catastrophic disaster. Nonprofits play a critical role in the transition as Federal and State recovery support draws down, and local leadership and community recovery organizations complete the mission. Nonprofits include voluntary, faith-based and community organizations, charities, foundations and philanthropic groups, as well as professional associations and academic institutions. The nonprofit sector provides support and supplements where government authority and resources cannot be applied.

Local government has the primary role of planning and managing all aspects of recovery. Local government should have Continuity of Government as well as Continuity of Operations Plans to enable them to support recovery if they themselves are affected. The majority of mitigation measures are at the local level, and it is up to the local government to enforce State and Federal standards. Local government must communicate and coordinate with all levels of government and must lead the efforts in restoring and revitalizing local critical infrastructure and essential services, and the redevelopment of housing. State and Federal officials work with local officials once the local government becomes overwhelmed and assistance is requested.

The State then leads the overall recovery process and plays a central role in coordination and technical support. The State will set priorities and direct the assistance where it is needed. In doing so, the State will implement both the Long-term Recovery plan and the State Hazard Mitigation Plan. The State will assess local government recovery needs and capacities for the

incident and assist local governments and communities with identifying recovery resources to fully recover.

The State will coordinate with local, tribal and Federal agencies, private businesses and nonprofit organizations to lead and coordinate State recovery planning and assistance to impacted communities. The State will be the lead in unified recovery efforts of State agencies, setting appropriate State policies to guide State agency activities as well as inform stakeholders of the application of Federal funding. The State is responsible to receive, record and manage all Federally- provided grant assistance and programs. In addition, the State will play an important role of keeping the public informed.

Once a presidential declaration is granted, the Federal government will play a significant role. Federal agencies may be directed by the President to provide assistance in the form of funding. Direct federal assistance where federal agencies undertake the response/restoration activities may also be authorized.

As the SEOC activation ceases, and the JFO activates, the Federal government will transition out the Emergency Support Functions (ESFs) and implement the RSFs. Although the RSF structure builds upon the ESF structure, RSFs are different from ESFs in that they have a different set of mission objectives, time spans and skill sets.

C. RECOVERY SUPPORT FUNCTIONS

Recovery Support Functions bring together the core recovery capabilities of Federal departments and agencies to focus on community recovery needs. The objective of the RSF is to facilitate coordination and delivery of Federal assistance needed to supplement recovery efforts. RSFs are designed to operate within a timeframe of months to years. RSFs work closely with local and State government.

The RSFs are organized in six manageable, multi-agency components.

- **Community Planning and Capacity Building:** The core recovery capability for community planning is the ability to effectively plan and implement disaster recovery activities, engaging the whole community to achieve their objectives and increase resilience. The Community Planning and Capacity Building RSF unifies and coordinates expertise and assistance programs from across the Federal Government to aid in restoring and improving the ability of tribes, States and local governments to organize, plan, manage and implement recovery. Primary Federal agencies are Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA), and Health and Human Services (HHS).
- **Economic:** The core recovery capability for economic recovery is the ability to return economic and business activities (including agricultural) to a state of health and develop new economic opportunities that result in a sustainable and economically viable community. Economic recovery is a critical and integral part of recovery. Primary Federal agencies are DHS/FEMA, Department of Commerce (DOC), Department of Labor (DOL), Small Business Administration (SBA), Department of the Treasury, and Department of Agriculture (USDA).

- **Health and Social Services:** The core recovery capability for health and social services is the ability to restore and improve health and social service networks to promote the resilience, health, independence and well-being of the whole community. The Health and Social Services RSF outlines the Federal framework to support locally-led recovery efforts to address public health, health care facilities and coalitions, and essential social service needs. Primary Federal agencies are DHS/FEMA, Corporation for National and Community Service (CNC), National Protection and Programs Directorate (NPPD), Office for Civil Rights and Civil Liberties (CRCL), Department of the Interior (DOI), Department of Justice (DOJ), Department of Education (ED), and DOL.
- **Housing:** The core recovery capability for housing is the ability to implement housing solutions that effectively support the needs of the whole community and contribute to its sustainability and resilience. Like infrastructure and safety services, housing is a critical and often challenging component of disaster recovery. It is critical because local economies cannot recover from devastating disasters without adequate housing, especially affordable housing. Primary Federal agencies are DHS/FEMA, DOJ, USDA, and Housing and Urban Development (HUD).
- **Infrastructure Systems:** The core recovery capability for infrastructure systems is the ability to efficiently restore the infrastructure systems and services to support a viable, sustainable community and improves resilience to and protection from future hazards. The Infrastructure Systems RSF promotes a holistic approach to disaster recovery coordination, support, planning and implementation for infrastructure systems that serve the community. This includes single and multijurisdictional areas and regions. Primary Federal agencies are DHS /FEMA, Army Corps of Engineers (USACE), Department of Energy (DOE), and Department of Transportation (DOT).
- **Natural and Cultural Resources:** The core recovery capability for natural and cultural resources is the ability to protect natural and cultural resources and historic properties through appropriate response and recovery actions to preserve, conserve, rehabilitate, and restore them consistent with post-disaster community priorities and in compliance with appropriate environmental and cultural resources laws. Primary Federal agencies are DHS/FEMA, DOI, and Environmental Protection Agency (EPA).

D. STATE INTEGRATION INTO FEDERAL RSFs

During a large-scale disaster, the State will activate ESFs as warranted by the event. As the response demobilizes, agencies will reposition from the ESF structure to support the RSF structure.

State integration into RSF alignment includes the following concepts:

- The State must be in a position to fully leverage Federal RSF support.
- Unity of effort will be key in a successful recovery. The alignment helps to ensure that all stakeholders are unified in their approach and not in silos.
- Based on the disaster assessment, only the RSFs that are needed will be deployed. As a result, not all State agencies will need to support the RSFs.

- The matrix that follows illustrates the State agency complement to the Federal RSF. The matrix is aligned under the assumption that all RSFs are operating at full capacity. Therefore, it represents the maximum level of support that would be required from State agencies and partners.

Recovery Support Functions	New York State Recovery Support Function Complement																																						
	A g i n g	A R C	B A	C A N A L S	D A M	D C J S	D E C	D F S	D H S E S	I A P A	D M N A	D M V	D O C C S	D O C H	D O L	D O S	D O T	D S P	E S D	H C R	I T S	J C	M T A	N Y P A	N Y S E R D A	O A S A S	O C F F S	O F P C	O I E C	O G S	O M H	O P R H P	O P W D D	O T D A	O Y S	P A N Y N J	P S C	S E D	S U N Y
Federal RSF and Mission Scope																																							
Community Planning and Capacity Building: Supporting and building recovery capacities and community planning resources needed to effectively plan for, manage and implement disaster recovery activities.										X	X	X					X	X	X	X	X	X	X																
Economic: Sustain and/or rebuild businesses and employment, and develop economic opportunities that result in sustainable and economically resilient communities after large-scale and catastrophic incidents										X	X	X	X				X	X	X																				
Health and Social Services: Assist locally-led recovery efforts in the restoration of the public health, health care and social services networks to promote the resilience, health and well-being of affected individuals and communities.									X	X	X	X					X	X	X																				
Housing: Address pre/post-disaster housing issues, coordinate and facilitate resources and activities to assist in the rehabilitation/reconstruction of destroyed/damaged housing and development of other new accessible, permanent housing.									X	X	X	X					X	X	X																				
Infrastructure Systems: Support all levels of government and other infrastructure owners and operators in their efforts to achieve recovery goals relating to the public engineering of the Nation's infrastructure systems.									X	X	X	X					X	X	X																				
Natural and Cultural Resources: Assist all levels of government and communities address long-term environmental and cultural resource recovery needs after large-scale and catastrophic incidents.									X	X	X	X					X	X	X																				

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Section IV: Recovery

In most cases, the level of State response activities will have a correlative effect on the level of recovery-related activities. A variety of forces may influence the direction of the recovery process, and as such, the State of New York will endeavor to assist local governments, businesses, and citizens in recovering from the impacts of any emergency/disaster.

DHSES Recovery leadership establishes guidance, including the shift of roles and responsibilities, for the transition from response operations, to recovery activities. Utilizing the response structure will be instrumental in data collection.

It is anticipated that this Long-term Recovery Plan will be implemented after a severe, wide-spread or catastrophic disaster. In such instances, the recovery process may be extensive and lengthy. Recovery activities may entail the rebuilding of health and safety systems such as hospitals and other healthcare facilities. Repair, relocation, or rebuilding of vital infrastructure could also occur in water and waste water facilities, fire and police stations, courts and other governmental buildings, transportation and telecommunication systems, and educational institutions. Focus will also be on the revitalization of the general economic health of the community. Project implementation will need to be prioritized based on: health and safety, continuity of government, and economic and social revitalization.

Disaster recovery typically occurs in phases, with initial efforts dedicated to helping those affected meet immediate needs for housing, food and water. As recovery activities proceed, homes and businesses are repaired, people return to work, and communities continue with cleanup and rebuilding efforts. Many government agencies, voluntary organizations, and the private sector cooperate to provide assistance and support.

Some individuals, families and communities that are especially hard hit by a disaster may need more time and specialized assistance to recover, and perhaps a more formalized structure to support them. Specialized assistance may be needed to address unique needs that are not satisfied by routine disaster assistance programs. It may also be required for very complex restoration or rebuilding challenges. Long-term recovery addresses these ongoing needs by taking a holistic, long-term view of critical recovery needs, and coordinating the mobilization of resources at the Federal, State, and community levels.

The potential for future disasters of a similar type is considered in the recovery process and informs the types of mitigation that can lessen the impact of future disaster. The impact from an actual disaster can provide a true picture to the long-term needs of a community.

After the President declares a Federal disaster or emergency, there are several types of recovery assistance programs available to communities, individuals and State and local government and specific not for profits. There are funding limitations and eligibility requirements that must be met for each type of assistance.

- **Individual Assistance:** When the President declares a Federal disaster and/or authorizes providing Individual Assistance (IA), FEMA's Individuals and Household Program (IHP) can help homeowners and renters affected by the disaster with housing needed and necessary expenses. The maximum period for IHP assistance is 18 months.
 - Housing Assistance, which provides for temporary housing and money for homeowners for repairs, replacement, and housing construction.
 - Other Needs Assistance, which provides for uninsured disaster related necessary expenses.
- **Small Business Administration:** the Small Business Administration (SBA) is a disaster loan program offers low interest loans for homeowners, renters and businesses for real and personal property losses resulting from the disaster. Economic Injury loans are also available for businesses.
- **Public Assistance:** The objective of Public Assistance (PA) is for FEMA to provide assistance to State, tribal and local governments, as well as certain private non-profit organizations to repair or replace damaged facilities and restore essential services. Public Assistance is divided into two broad categories: Emergency and Permanent work.
 - Emergency Work, which has an initial time limit for completion of six months, although time extensions may be requested.
 - Category A: Debris Removal
 - Category B: Emergency Protective Measures
 - Permanent Work, which has an initial time limit for completion of 18 months, although time extensions may be requested.
 - Category C: Roads and Bridges
 - Category D: Water Control Facilities
 - Category E: Buildings and Equipment
 - Category F: Utilities
 - Category G: Parks, Recreational Facilities, and other Facilities.
- **Hazard Mitigation Grant Program:** The Hazard Mitigation Grant Program (HMGP) breaks the cycle of damage and repair. Mitigation actions reduce or eliminate the long-term risk to human life and property from hazards. There are two types Hazard Mitigation funding available.
 - Hazard Mitigation Grant Program, Section 404, which is available after disasters and is not under the jurisdiction of the Public Assistance Program.
 - Hazard Mitigation Section 406, which is available under the Public Assistance Program and must apply to damaged facilities/systems.

The long-term recovery progress is continually tracked and evaluated among all levels of government. Close communication and coordination with local, State and Federal government as well as nonprofit and NGOs, throughout the recovery process reinforces a shared understanding of the objectives and expectations of the unified recovery effort and eventual demobilization. How long the various levels of government stay on site actively participating in the long-term recovery process depends on the size and scale of the disaster. When the impacted local government has recovered the capacities and resources needed to manage the recovery effort on its own, the other levels of government will begin to demobilize.

The vast majority of the recovery process on-scene efforts will occur at the JFO. The JFO provides a temporary single location to share information, set joint priorities, and provide for centralized coordination of Federal, State, local, tribal, non-governmental, and private-sector organizations with primary responsibility for incident oversight, direction, and/or assistance to effectively coordinate recovery actions. The JFO is managed jointly by the Federal Coordinating Officer and the State Coordinating Officer. The FCO and SCO ensure that actions conducted at the JFO are consistent with the provision of the Stafford Act to assist citizens and public officials in obtaining assistance. The JFO opens once a Federal disaster is declared typically after the State EOC begins to demobilize. As the need for multi-agency coordination ceases, the JFO will begin to demobilize. Federal agencies then work directly with their grantees from their regional or headquarters offices to administer and monitor individual recovery programs, support, and technical services. Any remaining recovery activities will be transitioned to the appropriate State agency as part of their day to day responsibilities.

Disaster Recovery Centers (DRCs) are temporary accessible facilities or mobile offices set up in the disaster impacted areas, with each facility typically run by both FEMA and the State following a Federal Declaration from the President. DRCs are facilities where disaster survivors can apply for disaster assistance and receive disaster related information.

Disaster Assistance Service Centers (DASCs) are disaster assistance facilities opened by the State and local government ahead of any involvement by the Federal government, or in the absence of a Federal Declaration from the President.

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, 2018

List of Plan Revisions

Date of Revision	Subject Matter	Page(s)
January, 2007	Executive Change	Cover
June, 2008	Annual Update	Multiple (Response, Levels, MAC)
September, 2009	Full Plan Review	All as warranted
November, 2009	Annual Update	Multiple (R/R, Response, RM Charts)
January, 2011	Administrative Change	All as warranted
March, 2012	EOC Operating Levels	All as warranted
March, 2013	Annual Review	All as warranted
March, 2015	Annual Review	All as warranted
February, 2016	Annual Review; All including, Intergovernmental Affairs, MAC, NY Responds	All as warranted
March 2017	Annual Review	All as warranted
October, 2017	Changes warranted to address ESF/RSF construct, State Operating Levels, SEOCS Organizational structure	All pages reviewed/updated as needed.
February, 2018	Annual Update	All as warranted

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Attachments:

- Attachment 1: *Listing of State Hazard-Specific, Functional and Support Annexes*
- Attachment 2: *SEOC Activation Matrix*
- Attachment 3: *SEOC Mission Flow Chart*
- Attachment 4: *SEOC Organizational Chart*

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 29 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.

The State of New York has structured its planning methodology with the development of the State Comprehensive Emergency Management Plan (CEMP) into 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 the Emergency Support Functions 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.

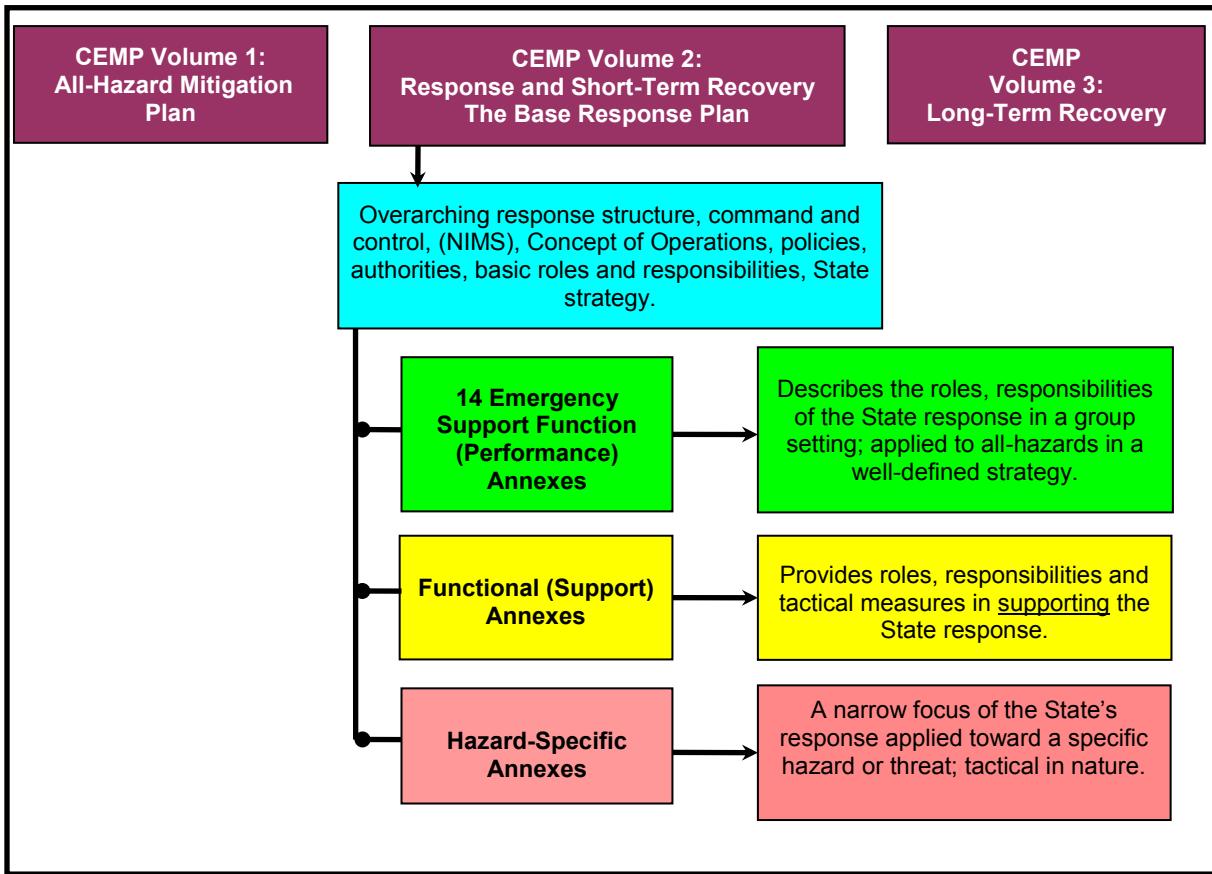


Figure 1: Structure of the State Comprehensive Emergency Management Plan

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 developed and maintained by 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 Emergency Support Function 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 a 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. Risk Assessment and Situation

There are a multitude 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.

A variety of concepts 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 process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities as part of the annual State Preparedness Report, another Federal requirement. However, given some of the limitations and challenges associated with the Federal doctrine and processes, New York State has developed additional programs and methodologies to better understand risk.

As part of the County Emergency Preparedness Assessment (CEPA) program, the State has conducted risk assessments in each of the 57 counties of New York, and New York City, to have a firm and in-depth understanding of the hazards that could occur in the State. The assessments provide great insight into local capabilities as well. The assessments are scheduled on a 3-year cycle, with the second round being conducted in 2017 – 2018. The State also supports other local hazard analysis workshops and maintains a robust hazard mitigation planning effort. The State Intelligence Center is another key component, particularly as it relates to analyzing terrorism and other human-caused threats.

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 recover 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.

The Homeland Security Presidential Directive #5 outlined the implementation of 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 New York State Office of Emergency Management (NYS OEM). Should the SEOC become unusable, operations may relocate to an alternate SEOC located at the Hudson Valley Transportation Management Center in Hawthorne. The State also possesses regional offices and several other identified sites 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 the 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, civil disorder, or cyber incidents.

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 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 State 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. State agencies 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. Some incidents may occur that warrant an immediate State response.
14. There may be incidents where the State responds on its own initiative rather than waiting for a request for assistance.
15. Concepts and practices of the components of the NIMS ICS will be used during response and recovery, as needed.
16. 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.

17. 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).
18. 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.
19. 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.
20. 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.

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 NYS Office of Emergency Management (NYS OEM).
 - c) State assistance is supplemental to local efforts.
 - d) Based on incident specifics and the requests for assistance, the Director of the State Office of Emergency Management will determine the level of State involvement needed. Depending on the nature of the request, some requests for assistance may be orchestrated thorough 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 and Emergency Support Function (ESFs) 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 the Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA), through already existing Federal compacts, Federal contingency plans or the President. State response activities will align State agencies and Emergency Support Functions with the appropriate Federal Emergency Support Function (ESF), Principal Federal Official (PFO) and Federal On-scene Coordinator(s) (FOSC). 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. The organizational response structure will be demobilized based on the needs of the incident, as appropriate.
 - i) As warranted, the State will activate its Recovery Support Functions (RSFs) to begin coordinating State services and facilitate the transition to recovery.
 - j) The NYS Division of Homeland Security and Emergency Services (DHSES) will coordinate disaster recovery efforts with the appropriate State RSFs, local and Federal officials.
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 information obtained, the Director of the State Office of Emergency Management will determine the level of further State involvement needed. Depending on the nature of any requests, some assistance may be orchestrated thorough 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 Emergency Support Functions 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 or forthcoming, the State will request assistance from Federal the Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA), through already existing Federal compacts, Federal contingency plans or the President. State response activities will align State agencies and Emergency Support Functions with the appropriate Federal Emergency Support Function (ESF), Principal Federal Official (PFO) and Federal On-scene Coordinator(s) (FOSC). 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.
- 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) As warranted, the State will activate its Recovery Support Functions (RSFs) to begin coordinating State services and facilitate the transition to recovery.
- i) The NYS Division of Homeland Security and Emergency Services (DHSES) will coordinate disaster recovery efforts with the appropriate State RSFs, local 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. 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. Volume 3 sets the foundation for the State's Recovery Support Functions designed to effectively interoperate with Federal disaster recovery components as identified in the National Disaster Recovery Framework, or NDRF. 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 that might be available to achieve full recovery.

B. Capability Assessment, Resources Lists and Typing

As part of the THIRA process, the State reviewed the criteria from the Federal Core Capabilities that were promulgated under Presidential Policy Directive (PPD-8). In the assessment, the State recognized that the Federal capabilities were not intuitive and an improper fit for the State's goals, missions and objectives. Subsequently, through a standing workgroup, the State

created its own list of Critical Capabilities which were then mapped to the Federal Core Capabilities. This modification provided the State with a better understanding and granularity in assessing, managing, and improving its capabilities.

The State has assessed the Critical Capabilities using the CEPA program noted previously. The assessment involves an examination of planning, organization, equipment, training and exercises (POETE) for each of the Critical Capabilities across a broad range of credible, worst case events that could occur in the State. The assessment provides the State with information regarding statewide capability trends and potential gaps that can then be planned for and addressed. The State has also examined the degree to which the State has both the ability and capacity to support the Critical Capabilities.

The State's list of capabilities is linked from the THIRA/SPR to the Emergency Support Functions (ESF) annexes under this plan. In addition, 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, as it evolves.

C. 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 valuable 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, other 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 incorporated the Homeland Security Exercise and Evaluation Program (HSEEP). 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.

D. Plan Updates and Maintenance

This plan will be reviewed and updated on an ongoing basis from lessons learned, or as changes to Federal, State and local plans occur. At a minimum, this plan will be reviewed and updated by the Planning Section of State OEM by February 15th of each year.

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 NYS OEM 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 Emergency Support Function (ESF) agencies will be identified and requested to send a representative to the SEOC. Depending on the situation, agencies may need to send additional representatives to support the ESFs. In spontaneous events, agencies will be notified via the NYS OEM Notification System, as appropriate. In preplanned events, the agencies would be summoned via electronic or hardcopy correspondence. A Multi-Agency Coordination (MAC) Group conference call would be conducted prior to or in response to any large-scale event and activation of the SEOC.

B. State Response Activation

The State response organization will be activated based upon the scope and magnitude of the incident, and the level of capability needed to effectively respond to the event. The SEOC has four levels of activation that are preceded by day to day, steady-state operations. During steady-state operations, NYS OEM 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.

Level 4 – Enhanced Monitoring: The focus is OEM-based actions and reporting. OEM staff may request information or coordination from agencies external (remote) to the SEOC.

- State OEM Staff only for enhanced monitoring.
- Agencies may be requested to provide situational status updates remotely.

- Operational coordination may occur with agencies external to the SEOC.

Level 3 – Partial Activation: A situation that warrants the activation of any ESF Coordinators and select member agencies. Additional agencies will be determined at the time of the event as conditions warrant.

- This level may include the activation of ICS-based sections to provide situational reporting and prepare to increase the State's response posture, as appropriate.
- This level may include the activation by one or more ESFs 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.
- NYS OEM Regional Staff may be mobilized or deployed.
- At this point, a 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.
- If warranted, the Director of NYS OEM or designee (i.e., Operations Section Chief, EOC Manager) and the activated ESF coordinators will jointly identify which agencies of each ESF are required to support the activation level and the current response.

Level 2 – Full Activation: A situation that warrants the activation of ESFs and most/all member agencies.

- This level may include most or all ESFs and member agencies.
- The Director of NYS OEM or designee (i.e., Operations Section Chief, EOC Manager) and the activated ESF coordinators will jointly identify which agencies within the ESFs that are required to support the activation level and the current response.
- Agency Department Operations Centers are likely to activate at this point.
- NYS OEM Regional Staff will be mobilized or deployed.
- The State IMTs may be deployed as needed.
- 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.
- It is at this point that the State will consider establishing a Joint Information Center (JIC) under ESF #15 to begin developing and disseminating critical public messaging and advisories based on the situation.

Level 1 – Full State/Federal Response: A situation that warrants the activation of all State ESFs and most/all member agencies, with a Federal Command/General Staff presence and Federal ESFs accounted for in the SEOC.

- The activities of the State ESFs will be integrated with those of their Federal ESF counterparts.
- The Director of NYS OEM or designee (i.e., Operations Section Chief, EOC Manager) and the activated ESF Coordinators will jointly identify which agencies of each ESF are required to support the activation level and the current response.
- NYS OEM Regional Staff will remain mobilized or deployed.
- The State IMTs will likely be deployed at this point as warranted.
- State ESF Coordinators will interface and coordinate with the corresponding Federal ESF lead agencies.
- 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) under ESF #15 to begin developing and disseminating critical public messaging and advisories based on the situation.

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, NYS OEM 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).

NYS OEM 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. NYS OEM Executive Staff and key Senior and operational staff of NYS OEM 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 NYS OEM 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, NYS OEM 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 operational and ESF checklists, 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 NYS OEM; 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

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 4 activation, the State's response will be coordinated by NYS OEM, 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 3, 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 direction 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 to ensure that the 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 ESFs, 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 for 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 for 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 in the command element 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

A Joint Information Center (JIC) may be established in conjunction with other State agencies through the activities of Emergency Support Function #15 (ESF #15) 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 outlined in the Public Information Annex to the State Comprehensive Emergency Management Plan (CEMP).

5. General Staff Operations and Emergency Support Functions

State response operations will be coordinated from the State Emergency Operations Center (SEOC) 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 and Level 4 Activations: State resource requests and overall coordination will be managed by the NYS OEM Duty Officer or respective agency personnel through established agency protocols and procedures, as appropriate. The NYS OEM Duty Officer may be made aware of these missions through the State Watch Center or reporting by other State agency liaisons.

For Level 3, 2 and Level 1 Activations: Response activities will be coordinated by the EOC Manager and Operations Section Chief through the State's ESFs. Branch Directors may be activated to provide coordination for mission/resource support.

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. Information and Planning (ESF #5)

Information and Planning is organized under the mission of Emergency Support Function #5 (ESF #5). The role of ESF #5 is to collect, evaluate and disseminate incident information throughout the State response organization. ESF #5 will also 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 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 Staffing Unit,

Situation Unit, Advanced Planning Unit, Documentation Unit, and may also include a Demobilization Unit to coordinate the demobilization of the State EOC.

In larger events, multiple agencies may be called upon to support the section in varying capacities. As such, ESF #5 may 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, ESF #5 has the primary responsibility to coordinate the production and distribution of the situation report with the activated ESFs and ADOCs, as appropriate.

c. Logistics (ESF #7)

Logistics is organized under the mission of Emergency Support Function #7 (ESF #7), which supports the request and acquisition of assets to assist in the State's response and short-term recovery. The Service Branch and Support Branch may also be activated within the section to support the overall mission of the section and the State's response. ESF #7 will work in close coordination with the Finance Unit 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.

d. Finance Unit

The Finance Unit 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 Unit 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, 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 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 that 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. 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

Any request that is submitted into the State Emergency Operations Center (SEOC) will first be entered into the NYS Incident Management Software System (NY Responds). The EOC Manager, Deputy EOC Manager or Mission Assignment Specialist then must approve or deny with justification, the request that has been submitted. If it is determined that the request will be denied, then the requester will be notified. In some instances, additional information may be needed for the request.

If the request is approved, then the request will be assigned to the Operations Section Chief or ESF #7 Logistics. Once the request is assigned to the Operations Section Chief, the request is passed onto the appropriate Branch Director and ESF for completion.

If the resource request is actionable by the ESF, then the ESF will carry out the mission and provide coordination within the area of operation. If some or all elements of the mission are not actionable by the ESF, then the OSC will provide coordination across the Branch Directors and other ESFs, including ESF #7 Logistics. If none of the mission or resource request elements are actionable by any State ESFs, then ESF #7 will coordinate with FEMA, EMAC or consider other procurement options as necessary to satisfy the mission.

1. Operations Section

The State ESFs are located under the Operations Section in the State EOC. The Operations Section is responsible for providing the coordination and resource support in response to requests for assistance, and in support of State-level missions.

a. Operations Section Chief

The Operations Section Chief (OSC) reports to the EOC Manager, and is responsible for coordinating requests for assistance to the ESFs for resource assignment and asset deployment. The OSC will troubleshoot questionable requests, and re-route requests as needed. The OSC is responsible for maintaining situational awareness of both State EOC and field operations and to anticipate conflicts between ESFs, and resolve those conflicts as quickly as possible.

b. Operational Branches and Branch Directors

In large events requiring most or all the State's ESFs to become operational, management of the State EOC will include the use of Branches and Branch Directors. Operations Branch Directors are under the direction of the OSC and are responsible for coordinating the ESF's within the operational branch they are assigned to. There are three branches that could be used, each of which has multiples ESFs present that support a common operational focus:

- Infrastructure Branch: This includes ESF #1 Transportation; ESF #2 Communications; ESF #3 Public Works and Engineering; and ESF #12 Energy.
- Public Safety Branch: This includes ESF #4 Firefighting; ESF #9 Search and Rescue; ESF #10 Oil and Hazardous Materials Response; and ESF #13 Public Safety and Security.
- Health and Human Services Branch: This includes ESF #6 Mass Care, Emergency Assistance, Housing and Human Services; ESF #8 Public Health and Medical Services; ESF #11 Agricultural and Natural Resources.

If conditions in the State EOC warrant the implementation of a Branch Director to maintain a manageable span of control, each ESF will be required to coordinate its operations under the direction of the appropriate Branch Director.

c. ESF Coordinating and Member Agencies

Each ESF Coordinating Agency will assume primary responsibility for the ESF's activities when the ESF is activated. The Coordinating and Member Agencies will work collaboratively to satisfy the mission of the ESF. The ESF Member Agencies include all those agencies applicable to the size and scope of event. The responsibility of member agencies is to assist and support the ESF Coordinating Agency to ensure effective accomplishment of all missions, tasks, and assignments assigned to the ESF.

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 NYS OEM 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, or with the activation of the State Emergency Support Functions (ESFs).

2. State Emergency Support Functions (ESFs)

The State has created fourteen (14) emergency support functions to support its preparedness, response and recovery efforts. The ESFs 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. ESF Coordinators will manage such actions within the Group to effectively respond to the demands of the incident. ESF Coordinators will manage their actions cognizant of over-arching policies and authorities, statutory or otherwise, as outlined in each ESF Annex, any hazard-specific annex to the State CEMP and those objectives established by the MAC.

Activation of the ESFs is not automatic. As an incident expands in scope and/or magnitude and significant State resources are needed or anticipated, the State ESFs can be activated at the State EOC as part of the Operations Section, as needed. Each ESF is comprised of representatives from multiple State Agencies, depending upon the scope of the ESF's responsibilities, with a designated ESF Coordinator. Each ESF has protocols to guide their actions during an incident. The ESFs are as follows:

ESF #1 – Transportation

The mission of ESF #1 is to coordinate resource support and assistance for the State's transportation systems and infrastructure during an event of incident response, which includes all modes of transportation that may be impacted. Overall, ESF #1 is responsible for transportation response, information and planning, debris clearance, damage assessments, restoration of transportation infrastructure and management of the Area Transportation Infrastructure Groups (ATIGs). The mission of ESF #1 also includes air operations support which is managed by the Air Operations Group. *Coordinating Agency: NYS Department of Transportation (NYS DOT)*

ESF #2 – Communications

ESF #2 will coordinate the reestablishment of the critical communications infrastructure, facilitate the stabilization of systems and applications, and coordinate communications support to response efforts. Its role includes establishing emergency communications between public safety agencies at all levels of government.

Coordinating Agency: NYS Division of Homeland Security and Emergency Services – Office of Interoperable and Emergency Communication (NYS DHSES – OIEC)

ESF #3 – Public Works and Engineering

To quickly and efficiently provide coordination, technical assistance, engineering expertise and debris and construction management to protect public works and critical

infrastructure. *Coordinating Agency:* NYS Department of Environmental Conservation (NYS DEC)

ESF #4 – Firefighting

To coordinate effective response efforts in support of detection and suppression of wildland, urban fires and wildland/urban interface fires. The ESF #4 coordinator will support fire-based assets in response to hazardous materials incidents with ESF #10. Building inspections through DART and DOS are also included. *Coordinating Agency:* NYS Division of Homeland Security and Emergency Services – Office of Fire Prevention and Control (NYS DHSES – OFPC)

ESF #5 – Information and Planning

To facilitate and support multi-agency planning and coordination for incidents requiring activation of the State EOC. Includes the capability to incorporate the Radiological Emergency Preparedness Program (REPP) Assessment and Evaluation (A&E) function, and multi-agency situation unit. *Coordinating Agency:* NYS Division of Homeland Security and Emergency Services – Office of Emergency Management (NYS DHSES – OEM)

ESF #6 – Mass Care, Emergency Assistance, Housing and Human Services

To support and facilitate coordination of Mass Care, Sheltering, Emergency Assistance, Housing and Human Services throughout the State during response and short term recovery of an incident. ESF #6 will coordinate these vital services to minimize impacts on effected populations. *Coordinating Agency:* NYS Division of Homeland Security and Emergency Services – Individual Assistance (NYS DHSES – IA), and NYS Division of Homeland Security and Emergency Services – Office of Emergency Management (NYS DHSES – OEM)

ESF #7 – Logistics

To direct and coordinate logistics for comprehensive incident management. ESF #7 will manage and coordinate donations management, asset procurement, stockpile usage, purchase and transportation of materials, Emergency Management Assistance Compact (EMAC) coordination, internal State EOC support, and interoperability with Federal ESF #7. *Coordinating Agency:* NYS Division of Homeland Security and Emergency Services – Office of Emergency Management (NYS DHSES – OEM)

ESF #8 – Public Health and Medical Services

To coordinate response activities during a public health or medical emergency requiring activation of State EOC. ESF #8 will direct and oversee response to public health emergencies, emergency medical services operations, fatality management and disease surveillance. *Coordinating Agency:* NYS State Department of Health (NYS DOH)

ESF #9 – Search and Rescue

To manage and coordinate the activities associated with the deployment of search and rescue resources to provide specialized lifesaving assistance. *Coordinating Agency:* NYS Division of Homeland Security and Emergency Services – Office of Fire Prevention and Control (NYS DHSES – OFPC)

ESF #10 – Oil and Hazardous Materials Response

To coordinate support in response to an actual or potential discharge of oil and/or hazardous materials. ESF #10 will support hazardous materials response and decontamination and coordination of storage, treatments and disposal of hazardous materials, including contaminated debris. *Coordinating Agency:* NYS Department of Environmental Conservation (NYS DEC)

ESF #11 – Agriculture and Natural Resources

To coordinate functions designed to protect the nation's food supply, plan for and respond to plant and animal pest and disease outbreaks, ensure the safety and well-being of agricultural animals, and is involved in the protection of natural, historical, and cultural resources and properties. *Coordinating Agency:* NYS Department of Agriculture and Markets (NYS DAM)

ESF #12 – Energy

To facilitate the restoration of damaged energy systems and components. This includes the generator program under NYSERDA. *Coordinating Agency:* NYS Public Service Commission (NYS PSC)

ESF #13 – Public Safety and Security

To coordinate the activities of security services to protect people throughout New York State. ESF #13 will provide law enforcement augmentation, support traffic and access control points, and provide evacuation assistance. *Coordinating Agency:* NYS Division of State Police (NYS DSP)

ESF #14 – Superseded by the NDRF. Linkages are now through RSFs.

ESF #15 – Externals Affairs

To serve as the writer, coordinator, and distributor of all public information related to the incident. Includes the establishment and management of a JIC. *Coordinating Agency:* NYS Division of Homeland Security and Emergency Services – Public Information Office (NYS DHSES – PIO)

A chart delineating the SEOC mission flow process can be found in Attachment 3: *NYS EOC Mission Flow Chart*.

3. 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.

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.

Under the current State EOC response construct, the State ESFs will interoperate and coordinate directly with their Federal ESF partners. This allows for more efficient communication, managing resource requests and reporting between New York State and the Federal government during major events and disaster emergencies. The lines of coordination between the State Emergency Support Functions (ESFs) and Federal Emergency Support Functions (ESFs) will occur mostly during SEOC Level 1 activations.

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 to lessen the impact of reoccurrence, or to eliminate the likelihood of a reoccurrence.

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 to 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 Plan*.

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.
- Emergency Support Functions (ESFs).
- Area Commands or the IMT, if deployed.
- NYS OEM 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 may be assigned to the Documentation Unit to begin collating the information for State programs and a potential Federal Disaster Declaration.

2. Agencies and Emergency Support Functions 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 to the activated ESFs, agency liaisons and departmental operations centers, as appropriate.

The Annexes developed by each of the Emergency Support Functions identify short-term recovery measures that would be taken by their respective group. These include the following Operational Branches and their activities:

Infrastructure Branch – The Branch 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. The Branch may also provide local governments with support and assistance on the above-mentioned efforts.

Public Safety Branch – 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.

Health and Human Services Branch – 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. The Branch can provide continuing support for mass care, sheltering, emergency assistance, housing and human services, as well disaster mental health services and the collection of information for reporting victim status and

assisting in family reunification. The Branch also provides support for the operation of disaster assistance services centers and disaster recovery centers.

Key State agencies, which are represented in each Emergency Support Function, 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 Plan*.

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 SEOC and ESF #6, with DHSES-IA.

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 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 NYS OEM.

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", the State Emergency Support Functions (ESFs) 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 deciding the 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 would be activated within ESF #5 (Information and Planning) 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 development 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 the State Emergency Support Functions (ESFs). Once approved, the demobilization plan will be distributed to all State Agency representatives, Emergency Support Functions (ESFs) and to Agency Departmental Operations Centers for implementation.

I. Activation of Recovery Support Functions

During a large-scale disaster, the State ESFs will activate and support the needs of the incident. As the SEOC activation ceases, and the Joint Field Office (JFO) activates, the Federal government will transition out of the Emergency Support Functions (ESFs) and implement the Recovery Support Functions or RSFs. Although the RSF structure builds upon the ESF structure, RSFs are different from ESFs in that they have a different set of mission objectives, time spans and skill sets.

As the State's response demobilizes, agencies will reposition to support the Recovery Support Function (RSF) structure. As outlined in each ESF Annex, the State has aligned the agencies that comprise each of the ESFs into a corresponding role within a State RSF. This alignment is consistent with the Federal RSF construct as warranted in the National Disaster Recovery Framework or NDRF. NYS CEMP Volume 3 *Long-Term Recovery* sets the foundation for the State's RSFs to effectively interoperate with Federal disaster recovery components as identified in the NDRF.

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 Annex
- Radiological Emergency Preparedness Plan
- Drought Management Annex
- State Energy Emergency Annex
- Appendix for Emerging Infectious Diseases in Non-Human Populations

Emergency Support Function (ESF) Annexes

- ESF #1 Transportation Annex
- ESF #2 Communications Annex
- ESF #3 Public Works and Engineering Annex
- ESF #4 Firefighting Annex
- ESF #5 Information and Planning Annex
- ESF #6 Mass Care, Emergency Assistance, Housing and Human Services Annex
- ESF #7 Logistics Annex
- ESF #8 Public Health and Medical Services Annex
- ESF #9 Search and Rescue Annex
- ESF #10 Oil and Hazardous Materials Response Annex
- ESF #11 Agriculture and Natural Resources Annex
- ESF #12 Energy Annex
- ESF #13 Public Safety and Security Annex
- ESF #15 External Affairs 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

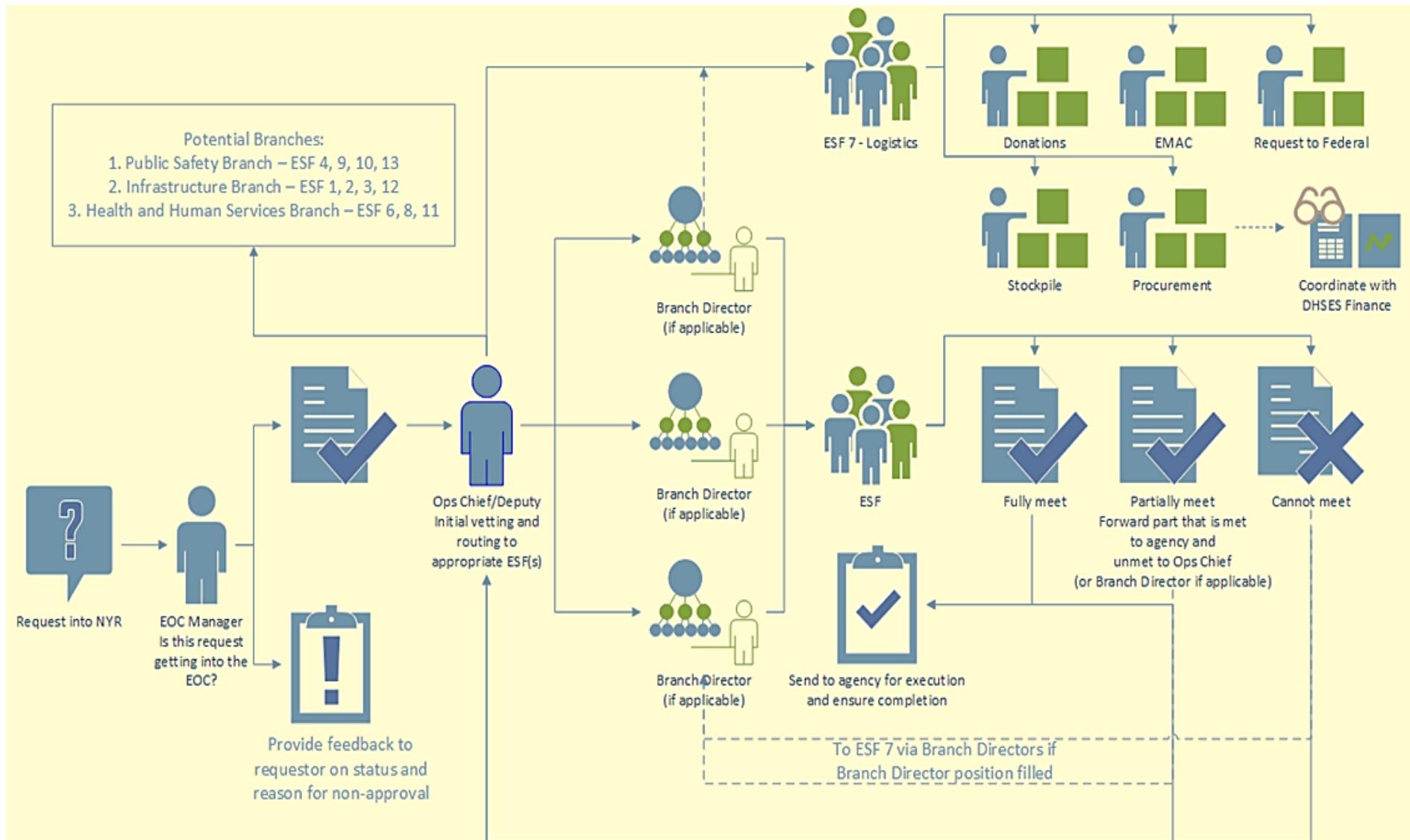
Attachment 2: State EOC (SEOC) Activation Level Matrix

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"> Routine monitoring of the Statewide situation by State agencies. 	<ul style="list-style-type: none"> NYS OEM maintains the SEOC in a readiness posture, while conducting normal day-to-day operations, and conducts surveillance and monitoring of any potential emergency. 	<ul style="list-style-type: none"> Day to Day Organizational Structures within agencies.
<u>Level 4 – Enhanced Monitoring</u>	<ul style="list-style-type: none"> Focus is NYS OEM-based actions and reporting. OEM staff may request information or coordination from agencies external (remote) to the SEOC. Specific agencies may be operating as part of their normal role and function. 	<ul style="list-style-type: none"> NYS OEM Staff only for enhanced monitoring. Agencies may be asked individually to support any remote operations or reporting from their home agency. 	<ul style="list-style-type: none"> Resource management through Logistics and agencies remotely. Situational Reporting will be done from the SEOC and other agencies may be requested to provide situational awareness remotely.
<u>Level 3 – Partial Activation</u>	<ul style="list-style-type: none"> Situation that warrants the activation of ESF Coordinators and select member agencies. Additional agencies determined at the time of the event as conditions warrant. This level may include the activation of ICS-based sections to provide situational reporting and prepare to increase the State's response posture. 	<ul style="list-style-type: none"> This level may include the activation by one or more ESFs 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. NYS OEM Regional Staff may mobilize or deploy. 	<ul style="list-style-type: none"> At this point, an <u>initial</u> 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. If warranted, the Director of NYS OEM or designee (i.e., Operations Section Coordinator, EOC Manager) and the activated ESF Coordinators will jointly identify which agencies of each ESF are required to support the activation level and the current response.

Attachment 2: State EOC (SEOC) Activation Level Matrix

SEOC Activation Level	Level of Response Activity	EOC Posture and Function	ICS Components / Coordination
<u>Level 2 – Full Activation</u>	<ul style="list-style-type: none"> • Situation that warrants the activation of ESFs and most/all member agencies. • This level may include most or all ESFs and member agencies. 	<ul style="list-style-type: none"> • The Director of NYS OEM or designee and the activated ESF Coordinators will jointly identify which agencies of each ESF are required to support the activation level and the current response. • Agency Departmental Operations Centers likely to activate at this point. • NYS OEM Regional Staff will be mobilized or deployed. • IMTs will be deployed as needed. 	<ul style="list-style-type: none"> • 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. • NYS OEM regional staff support tactical operations, coordinate activities through the local command structure. • 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.
<u>Level 1 – Full State/Federal Response</u>	<ul style="list-style-type: none"> • A situation that warrants the activation of all State ESFs and most/all member agencies, with a Federal Command/General Staff presence and Federal ESFs accounted for in the SEOC. 	<ul style="list-style-type: none"> • The activities of the State ESFs will be integrated with those of their Federal ESF counterparts. • The Director of NYS OEM or designee and the activated ESF Coordinators will jointly identify which agencies of each ESF are required to support the activation level. • Agency Departmental Operations Centers will be activated. • NYS OEM Regional Staff will remain mobilized or deployed. • IMTs will be deployed at this point. 	<ul style="list-style-type: none"> • At this point, a Multi-Agency Coordination (MAC) Group (virtual) <u>will</u> be activated to define the executive policies in the State's response. • NYS OEM regional staff will support tactical operations, coordinate activities through the local command structure. • IMT will support local government, or may serve as the State-counterpart to Federal response (i.e., PFO, FOSC); may establish Area Command, if appropriate.

Attachment 3: State EOC (SEOC) Mission Flow Chart



Attachment 4: State EOC (SEOC) Organizational Chart

