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COMDTINST 16000.22

COMMANDANT INSTRUCTION 16000.22

Subj: COAST GUARD CONNECTIVITY TO THE NATIONAL RESPONSE FRAMEWORK

- Ref:
- (a) 2008 National Response Framework Concept of Operations (NRF CONOP), Version 1.0, 22 January 2008
  - (b) National Response Framework (NRF), January 2008
  - (c) Post-Katrina Emergency Management Reform Act of 2006
  - (d) National Incident Management System (NIMS), December 2008
  - (e) Coast Guard Publication 1, U.S. Coast Guard: America’s Maritime Guardian, May 2009
  - (f) EPA – FEMA Suiter-Makris Memo, dtd May 2001
  - (g) Coast Guard Incident Command System Implementation Plan, COMDTINST M3120.15
  - (h) District Response Groups/District Response Advisory Teams, COMDTINST 16465.41a
  - (i) Alignment with the National Incident Management System and National Response Plan, COMDTINST 16000.27
  - (j) Commandant Contingency Staffing Plan, HQINST 1601.3b, dtd March 2006
  - (k) 2007 USCG Joint Field Office Support Teams Staffing Plan, CG-3R Memo 19 April 2007
  - (l) Natural Disaster Preparedness Guidance for 2007, msg dtg 032049Z MAY 07
  - (m) Coast Guard All Hazard NIMS ICS PQS Guide
  - (n) Coast Guard Incident Management Handbook, COMDTPUB P3120.17a
  - (o) LANTAREA 9700 OPLAN
  - (p) PACAREA 9800 OPLAN
  - (q) MLCA 9730-06
  - (r) MLCP Incident Response Plan
  - (s) Financial Resource Management Manual, COMDTINST M7100.3 (series)
  - (t) 2009 Coast Guard Pre-scripted Mission Assignment Templates

DISTRIBUTION – SDL No. 153

	a	b	c	d	e	f	g	h	i	j	k	l	m	n	o	p	q	r	s	t	u	v	w	x	y	z	
A																											
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NON-STANDARD DISTRIBUTION:

- (u) Recovery of the Marine Transportation System for Resumption of Commerce, COMDTINST 16000.28
- (v) U. S. Coast Guard Sector Organization Manual, COMDTINST M5401.6
- (w) USCG Emergency Preparedness Liaison Officer (EPLO) Program COMDTINST 3025.1

1. **PURPOSE.** This Instruction promulgates the U.S. Coast Guard Connectivity to the National Response Framework, Version 2.0, enclosure (1). It provides direction to Area and District Commanders, Coast Guard Service and Logistics Centers, the Deputy Commandant for Operations (DCO) and, as envisioned in a modernized Coast Guard, Operations Command (OPCOM), Force Readiness Command (FORCECOM), and the Deputy Commandant for Mission Support (DCMS). It mandates specific preparedness and response management activities within the Coast Guard to ensure connectivity with all levels of interagency governance during disaster preparedness and response activities.
2. **ACTION.** All CG unit commanders, commanding officers, officers-in-charge, deputy/assistant Commandants, and chiefs of headquarters staff elements shall comply with the provisions of this Instruction. Internet release is not authorized.
3. **DIRECTIVES AFFECTED.** This Instruction supersedes reference (a).
4. **BACKGROUND.** The Federal Emergency Management Agency (FEMA) issued reference (b), the National Response Framework (NRF), on January 22<sup>nd</sup>, 2008 in accordance with reference (c), the Post-Katrina Emergency Reform Act. Thereupon, the Director of Response Policy (CG-53) developed reference (a) to align Coast Guard response and preparedness with the NRF. It summarized Coast Guard roles and responsibilities in preparing for and responding to incidents with the NRF now fully in place. Enclosure (1) to this instruction replaces reference (a). Guidance and direction provided in references (b) through (f) are incorporated, as well as lessons learned and best practices observed from June 2008 to July 2009.
5. **DISCUSSION.** The NRF describes how to organize and align federal agencies across a wide variety of jurisdictions and organizations. These include local, county, state, Tribal, and Territorial governments, non-governmental organizations (NGOs), and private sector entities. The NRF emphasizes interagency coordination and collaboration amongst this complex mix as key drivers of effective outcomes. Therefore, this instruction explains how Coast Guard responsibilities and capabilities integrate into unified response and preparedness efforts. This version also clarifies policy regarding the roles and responsibilities of Coast Guard units in incident management, as described in references (g) through (w). *All references can be found on CGPortal within the Preparedness Community – Plans and Policy tab at <https://cgportal.uscg.mil/lotus/myquickr/coast-guard-preparedness>.*
6. **ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.** Environmental considerations were examined in the development of this Instruction and have been determined not to be applicable.

7. FORMS/REPORTS. The forms referenced in this instruction are available in USCG Electronic Forms on the Standard Workstation or on the Internet at <http://www.uscg.mil/forms/> and Intranet at <http://cgweb.comdt.uscg.mil/CGForms>.

/s/

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Rear Admiral, U. S. Coast Guard  
Director of Response Policy

Encl: (1) U.S. Coast Guard Connectivity to the National Response Framework, Version 2.0

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**U.S. Coast Guard**  
**Connectivity to the**  
**National Response Framework**

Version 2.0

## Table of Contents

<b>NOTES TO READERS</b>	<b>4</b>
NOTE 1: Policy and Doctrine	4
NOTE 2: Use of Bold/Italic	4
<b>Acronyms</b>	<b>5</b>
<b>1 Introduction</b>	<b>9</b>
1.1 Administrative Note	9
1.2 Modernization Note	9
1.3 Coast Guard Alignment with National Preparedness Standards	9
<b>2 Sectors</b>	<b>10</b>
2.1 The Role of Sectors	10
2.2 Sector Responsibilities	10
2.3 Sector Preparedness Metrics	12
<b>3 Districts</b>	<b>12</b>
3.1 The Role of Districts	12
3.2 District Responsibilities	12
3.3 District Level Support Resources	14
3.3.1 District Response Groups (DRGs)	14
3.3.2 District Incident Management Team (IMT) and Area Command	14
3.4 District Preparedness Metrics	14
<b>4 Command and Control Role of Areas (OPCOM within the Modernized Coast Guard)</b>	<b>15</b>
4.1 Area (or OPCOM) Authority and Responsibilities	15
<b>5 The Support and Training Role of Areas (FORCECOM within the Modernized Coast Guard)</b>	<b>16</b>
5.1 FORCECOM Authority and Responsibilities	16
5.2 FORCECOM Support Resources	17
5.2.1 Coast Guard Incident Management Assist Teams (IMATs)	17
5.2.2 Marine Transportation System Recovery Assist Teams (MTRAT)	17
5.2.3 Coast Guard Joint Field Office (JFO) Support Team	18
5.2.4 Deployable Operations Group (DOG) Deployable Element (DE)	18
5.3 FORCECOM Preparedness Metrics	19
<b>6 The Role Service and Logistics Centers (DCMS within the Modernized Coast Guard)</b>	<b>19</b>
6.1 Service and Logistics Centers (or DCMS) Authority and Responsibilities	20
6.2 Service and Logistics Centers (or DCMS) Support Resources	20

<b>7</b>	<b>The Role of DCO</b> _____	<b>20</b>
7.1	DCO Authority and Responsibilities at the NRCC _____	20
<b>8</b>	<b>Interagency Constructs and Processes</b> _____	<b>21</b>
8.1	Coast Guard Mission Assignment (MA) Process _____	21
8.1.1	Pre-Scripted Mission Assignments (PSMA) _____	22
8.2	NRF Task Organization _____	23
8.2.1	National Response Coordination Center (NRCC) Roles and Responsibilities _____	23
8.2.2	Regional Response Coordination Center (RRCC) Roles and Responsibilities _____	23
8.2.3	Transition from RRCC to the Joint Field Office (JFO) _____	23
<b>9</b>	<b>Future Plans</b> _____	<b>23</b>

## NOTES TO READERS

### NOTE 1: Policy and Doctrine

The hallmark of policy is the use of the terms “must” and “shall.” These are mandatory terms. They require compliance or action. The term “prescribe” encompasses the term “restricts.” Thus, other hallmarks of policy are the terms “must not” and “shall not.”

By comparison, the hallmark of doctrine is the use of the terms “can” and “may.” These are permissive terms. The term “should” is a mandatory term **unless justifiable reason** exists for not complying. Since there is a significant degree of judgment included within its use, the term “should” is more associated with doctrine than policy.

The term “will” is sometimes used in the place of “shall.” This is incorrect in the context of both doctrine and policy. “Will” applies only to a statement of future condition and should not be used in the place of “shall.”

*Source: Doctrine Study Group Final Report, 01 April 2009*

### NOTE 2: Use of ***Bold/Italic***

Items highlighted by ***bold/italic*** text are policy. This marking is based on the use of the terms “shall” and “must” (this includes, of course, “shall not” and “must not”).

## Acronyms

AC	Area Committee
AMSC	Area Maritime Security Committee
AOR	Area of Responsibility
ARF	Action Request Form
ATU	Administrative Target Units
C4IT	Command, Control, Communications, Computers, and Information Technology
CART	Common Assessment and Reporting Tool
CC	Command Center
CDO	Command Duty Officer
CERCLA	Comprehensive Environmental Response, Compensation and Liability Act
CFR	Code of Federal Regulations
CG	Coast Guard
CG-533	Office of Incident Management and Preparedness (at CGHQ)
CG-535	Office of Contingency Exercises (at CGHQ)
CGHQ	Coast Guard Headquarters
CGNCC	Coast Guard National Command Center
CIP	Common Intelligence Picture
CISM	Critical Incident Stress Management
COMDT	Commandant
COMDTINST	Commandant Instruction
COML	Communications Unit Leader
CONOP	Concept of Operations
CONPLAN	Concept Plan
COP	Common Operating Picture
COTP	Captain of the Port
CPS	Contingency Preparedness System
DART	Disaster Assistance Response Team
DCMS	Deputy Commandant for Mission Support
DCO	Deputy Commandant for Operations
DE	Deployable Element
DHS	Department of Homeland Security
DIRLAUTH	Direct Liaison Authority

Enclosure (1) to COMDTINST 16000.22

DOG	Deployable Operations Group
DRAT	District Response Advisory Team
DRG	District Response Group
DSF	Deployable Specialized Force
EI	Essential Elements of Information
EOC	Emergency Operations Center
EPA	Environmental Protection Agency
EPLO	Emergency Preparedness Liaison Officer
ERT	Emergency Response Teams
ESD	Electronics Support Detachment
ESF	Emergency Support Function
ESF-9	Search and Rescue ESF
ESF-10	Oil and Hazardous Materials ESF
ESFLG	Emergency Support Functions Leadership Group
ESU	Electronic Systems Unit
FCO	Federal Coordinating Officer
FEMA	Federal Emergency Management Agency
FMSC	Federal Maritime Security Coordinator
FORCECOM	Forces Command
FOSC	Federal On-Scene Coordinator
FOSCR	Federal On-Scene Coordinator's Representative
FSC	Finance Section Chief
FY	Fiscal Year
HQ	Headquarters
HSC	Harbor Safety Committee
HSIN	Homeland Security Information Network
HSWL	Health Safety and Work Life
IAW	in accordance with
IC	Incident Commander
ICS	Incident Command System
ICT3	Incident Commander, Type 3
ICT4	Incident Commander, Type 4
IMAT	Incident Management Assist Team
IMT	Incident Management Team
IPO	Interagency Preparedness Officer
IPS	Integrated Planning System

IS	Prefix for FEMA ICS courses
ISC	Integrated Support Command
JFO	Joint Field Office
LFA	Lead Federal Agency
LNO	Liaison Officer
LSC	Logistics Section Chief
MAT	Maintenance Augmentation Team
MLC	Maintenance and Logistics Commands (Atlantic and Pacific)
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
MTEP	Multi-year Training and Exercise Plan
MTS	Marine Transportation System
MTSA	Maritime Transportation Security Act
MTSRAT	Marine Transportation System Recovery Assist Teams
MTSRU	Marine Transportation System Recovery Unit
NCC	Coast Guard National Command Center
NCP	National Oil and Hazardous Substances Pollution Contingency Plan
NESU	Naval Engineering Support Unit
NIMS	National Incident Management System
NOC	National Operations Center
NPFC	National Pollution Fund Center
NRCC	National Response Coordination Center
NRF	National Response Framework
NRP	National Response Plan
NRT	National Response Team
OCMI	Officer in Charge of Marine Inspection
OJT	On-the-Job Training
OOA	on or about
OPAR	Operational Planning Assessment Report
OPCOM	Operations Command
OPCON	Operational Control
OPLAN	Operations Plan
OSC	Operations Section Chief
OSLTF	Oil Spill Liability Trust Fund
PRC	Port Readiness Committee
PREP	Preparedness for Response Exercise Program

Enclosure (1) to COMDTINST 16000.22

PQS	Personnel Qualification Standards
PSC	Personnel Service Center
PSC	Planning Section Chief
PSC-HSWL	Personnel Service Center – Health Safety and Work Life
PSMA	Pre-Scripted Mission Assignments
QRC	Quick Response Card
R21	Rescue 21
RESL	Resource Unit Leader
RFF	Request for Forces
RISC	Regional Interagency Steering Committee
RRCC	Regional Response Coordination Center
RRT	Regional Response Team
SAR	Search and Rescue
SEHO	Safety Environmental Health Officer
SFLC	Surface Forces Logistics Center
SITL	Situation Unit Leader
SITREP	Situation Report
SLO	Coast Guard NRCC Service Liaison Officer
SMC	SAR Mission Coordinator
SME	Subject Matter Expert
SOPP	Standard Operational Planning Process
SPD	Strategic Planning Direction
SUPL	Supply Unit Leader
TACON	Tactical Control
TTP	Tactics, Techniques and Procedures
UC	Unified Command
VMST	Vessel Maintenance Support Team
WMD	Weapon of Mass Destruction
WQSB	Watch Quarter and Station Bill

# **1 Introduction**

## **1.1 Administrative Note**

The Coast Guard's strong presence at the local level plays a significant role in the Nation's local preparedness and response capability. Authorities delegated to Coast Guard Commanders comprise most of that contribution, especially for preparedness, response, and incident management. However, all levels of the Coast Guard have responsibilities and capabilities, and these are addressed when appropriate. Finally, in keeping with the primary intention of the National Response Framework, Coast Guard units with delegated Captain of the Port authority or comparable mission execution authorities (e.g., Marine Safety Units) are considered functional field unit equivalents to Sectors.

## **1.2 Modernization Note**

This document reflects existing Coast Guard entities such as the Areas, FORCECOM, and Coast Guard Service and Logistics Centers (formally Maintenance and Logistics Commands (MLCs)). When Modernization elements are implemented, this document will change in the following ways:

- a) Coast Guard Operations Command (OPCOM) will assume command and control of mission execution and associated roles and responsibilities previously assigned to the Area Commanders;
- b) Deputy Commandant for Mission Support (DCMS) will assume the supporting elements of logistics support, and associated roles and responsibilities.

## **1.3 Coast Guard Alignment with National Preparedness Standards**

This instruction aligns Departmental and Coast Guard incident management goals regarding preparation for and response to all-incidents/all-hazards with the National Incident Management System (NIMS). The Coast Guard's use of the Incident Command System (ICS) and related ICS Personnel Qualification Standards (PQS) are also aligned with NIMS. This alignment and implementation is also fully consistent with Coast Guard execution of missions as outlined in Coast Guard Publication 1, U. S. Coast Guard: America's Maritime Guardian.

## 2 Sectors

### 2.1 The Role of Sectors

Sectors maintain command and control of Coast Guard tactical level operations. Sectors also provide a focal point for Coast Guard coordination, outreach, and integration with local and state governments. Sector Commanders serve as the Federal On-Scene Coordinator (FOSC), Federal Maritime Security Coordinator (FMSC), Search and Rescue Mission Coordinator (SMC), Officer In Charge Marine Inspections (OCMI), and Coast Guard Incident Commander (CGIC). Select Commanding Officers of Marine Safety Units, Groups, and Air Stations may be designated to serve in one or more of these capacities as well.

Interagency and stakeholder communities rely on the Coast Guard's day-to-day leadership to ensure that preparedness and response activities for the ports and waterways remain effective in complex operational port environments. Effective response is founded on healthy relationships within the port. ***Therefore, Sectors shall participate actively with the local and state emergency planning communities to jointly plan for, exercise, and execute disaster response operations. In the event of larger, more complex incidents, Sector Commanders shall request appropriate District support resources as the next logical source of Type 2 incident management support. Additionally, Sector Commanders shall be prepared to request the Incident Management Assist Team (IMAT) or specific Deployable Specialized Forces through their District Command Center (CC).*** Guidance for incident typing is posted at <http://www.fema.gov/emergency/nims/index.shtm> as an aid for understanding incident complexity.

### 2.2 Sector Responsibilities

***Collaboration Efforts*** – Collaboration is a key element of preparedness planning. ***Sector Commanders shall focus on local level planning in support of Coast Guard operational responsibilities and authorities*** as required by the National Oil and Hazardous Substances Pollution Contingency Plan (NCP), and the Maritime Transportation Security Act (MTSA). ***Sectors shall provide leadership within port interagency and stakeholder groups*** – including Area Committees (ACs), Harbor Safety Committees (HSCs), Port Readiness Committees (PRCs), and Area Maritime Security Committees (AMSCs) – thus ensuring close coordination of planning resources and incident-specific information sharing requirements. ***Sector Commanders shall also have established lines of communication with all appropriate Emergency Operations Centers (EOCs) within their Sector's AOR.***

***Command and Control*** – ***Sector Commanders shall maintain a watch quarter and station bill, per reference (v), to address a response to a threat of any size within the Sector AOR for a minimum of 48 hours without additional support. Sectors shall maintain the ability to respond to Type 3 and smaller incidents utilizing capabilities within the Sector AOR.*** Sector Commanders retain the responsibility to ensure the most appropriate Sector personnel are assigned to various watch quarter and station bill (WQSB) positions.

Sectors are responsible for evaluating existing plans to ensure adequate detail describes the incident transition processes. ***Plans shall address how incident response activities shift from steady state operations in the command center to activation of the Sector Incident Management Team (IMT). The follow-on surge of resources described within the WQSB***

**shall also be addressed.** This includes consideration of personnel relief, leave, and TAD requirements.

**Sector WQSBs, as defined in reference (v), shall identify and staff Type 3 IMT positions in support of the unit contingency plans.** Example WQSBs are located in the “ICS Library” on Homeport at <http://homeport.uscg.mil/ics/> to aid planning and WQSB design. **At a minimum, a Sector’s Type 3 IMT shall include the following positions:**

Incident Commander (IC)	Operations Section Chief (OSC)
Planning Section Chief (PSC)	Resource Unit Leader (RESL)
Situation Unit Leader (SITL)	Finance or Logistics Section Chief (FSC/LSC)
Communications Unit Leader (COML)	Supply Unit Leader (SUPL)

***Liaison Activities*** – Sectors shall maintain close coordination and communication with the variety of interagency and stakeholder representatives found within their respective AORs. AC, HSC, PRC, and AMSCs, (see acronym list) as well as other appropriate local, state, Tribal and regional governments and industry representatives are all key partners. Contingency Planning and Force Readiness Chiefs and their staffs maintain the majority of the interagency connections for their Sectors. They will normally spearhead Sector outreach and coordination activities.

***Sourcing*** – Incident response is a primary responsibility of the Sector commands. Depending on the size and impact of the incident, Sector Commanders coordinate with District, and their respective Area, to determine needs, if any, for Coast Guard Incident Command Post support and representation at local, county and state EOCs.

***Training/Certification*** – Upon assuming command, all Sector Commanders and Commanding Officers designated as Captain of the Port are granted an interim Type 3 IC certification unless eligible for higher certification. Respective District Commanders are guided by reference (m) for qualification of Sector Commanders.

Sector Commanders are authorized to certify individuals at the Type 3 level to build Sector-specific IMTs. ***The employment of this certification authority shall be based on prudent screening of an individual’s experience, judgment, maturity and satisfactory completion of mandatory training and PQS requirements.*** Interim and full certifications are issued using the standards contained in reference (m). Reference (m), containing ICS certification standards and Type 3 position PQS, is located in the “ICS Library” on Homeport at <http://homeport.uscg.mil/ics/>.

Sector Commanders may find gaps between PQS training requirements and availability of position-specific ICS courses to fully certify personnel IAW reference (m). Sector Commanders have the authority to (1) temporarily waive course requirements due to limited course availability and (2) give interim certifications to their personnel until they are able to complete the appropriate courses. Interim certifications expire upon transfer to a new command.

As Coast Guard training opportunities become more widely available and ICS certification standards are revised and implemented, Sector personnel will be expected to improve their training and certification to meet new requirements. Sector Commanders should continue to use

all available tools (e.g., on-the-job training (OJT), formal training, drills, exercises, events, and incidents) to ensure personnel achieve appropriate Type certification.

### **2.3 Sector Preparedness Metrics**

Scheduled implementation of the following preparedness metrics will be communicated via the fiscal year (FY) 2011 Strategic Planning Direction (SPD). These metrics will be evaluated and communicated each year based on feedback and further study of these measures and their effectiveness. This will be issued by the Deputy Commandant for Operations (DCO) during the third quarter of each fiscal year. ***Sector Commanders shall report attainment of the standards listed below IAW the timeline and submission process of the Standard Operational Planning Process (SOPP) Operational Planning Assessment Report (OPAR).***

- a) ***Sector Commanders shall ensure personnel are trained to fulfill  $\geq 95\%$  of the certifications necessary to respond to Type 4 incidents.*** All Command Duty Officers (CDO), Search and Rescue (SAR) Controllers, Boarding Officers, Federal On-Scene Coordinator's Representatives (FOSCR), and Coxswains are expected to be qualified as Type 4 Incident Commanders (ICT4).
- b) ***Sector Commanders shall ensure personnel are trained to fulfill  $\geq 75\%$  of the certifications necessary to respond to Type 3 incidents. Staffing shall take into account personnel relief requirements in order to sustain the initial 48 hours of an Incident Management Team (IMT) stand-up without additional support.***
- c) ***Sector Commanders shall establish a Type 3 WQSB and maintain a trained and qualified Type 3 IMT. This WQSB shall consist of filled command and general staff positions, as well as some unit leader positions, as delineated in section 2.2.*** Sectors are strongly encouraged to exceed the minimum staffing standards so as to ensure appropriate response capabilities for all hazards/all threats.

## **3 Districts**

### **3.1 The Role of Districts**

Within the Coast Guard preparedness response management system, Coast Guard Districts are command, control, and supporting elements for the Sectors. Districts maintain situational awareness, facilitate coordination of resources across Sectors, and fill resource shortfalls at Sectors. Districts are also responsible for representing Coast Guard equities and interests as to both planning and response in regional, Tribal, state, Federal, and private sector planning communities. District Commanders facilitate and prioritize Sector requests for additional response management resources.

### **3.2 District Responsibilities**

***Collaboration Efforts*** – Collaboration is a key element of preparedness planning. ***Districts shall focus on regional planning under the NRF, the NCP and MTSA to support field level operational commanders. Districts shall maintain active participation in groups such as the FEMA Regional Interagency Steering Committees (RISCs). Districts shall ensure each Regional Response Team (RRT) within their jurisdiction is appropriately led by a senior officer, acting as the RRT Co Chair with the Environmental Protection Agency (EPA).*** The

District is encouraged to participate with other regional and regionally focused international planning entities when appropriate.

Command and Control – Districts maintain situational awareness and provide resource coordination and prioritization to support field units. ***Districts shall maintain the ability to provide Type 2 incident response personnel to support field level response operations.*** Until formal establishment of Type 2 ICS PQS, Districts should utilize the Coast Guard IMAT to fill this capability.

Liaison Activities – Districts lead the coordination with FEMA or the Lead Federal Agency (LFA) Regional Response Coordination Centers (RRCCs) and Joint Field Offices (JFOs) when activated. The RRCCs are responsible for immediate Federal incident management support in response to disasters. For significant incidents, FEMA may establish one or more JFO to manage the incident. ***In response to a specific disaster declaration, District Commanders shall assign appropriate liaisons at each RRCC or JFO established within their AORs. District liaisons shall represent all District equities with the interagency, including the following:***

- 1) Serve as the liaison between FEMA or the LFA and interagency regional/JFO level components and District and the Areas (or OPCOM) for assignment of Coast Guard resources in support of Sectors and their subordinate units;
- 2) Maintain incident situational awareness of Coast Guard activities while at the RRCC or JFO;
- 3) Provide Coast Guard situational information and data input to the FEMA regional or JFO specific situation report (SITREP) within Homeland Security Information Network (HSIN); and
- 4) Coordinate information and communicate Coast Guard equities with other established JFO(s) and RRCC(s) within the District AOR as appropriate.

In addition to liaison activities with the RRCCs and JFOs (when established), Districts Co-Chair Regional Response Teams (RRTs), per 40 CFR §300.115(c), with the EPA for preparedness and response management functions as described in the National Contingency Plan.

Sourcing – District-level Emergency Preparedness Liaison Officers (EPLOs), per reference (w), and JFO Support Teams are intended to help support the liaison requirements.

Coast Guard IMATs are available to support field commanders. District Commanders should also plan to utilize their District Response Advisory Team (DRAT) for incident support. Other District personnel involved in preparedness functions on a daily basis can also provide incident support due to their extensive training and experience.

Training/Certification – ***District Commanders shall certify Sector Commanders and Commanding Officers designated as Captain of the Port as interim Type 3 Incident Commanders, if not already certified, upon assumption of Sector command or Commanding Officer designated as Captain of the Port.*** District Commanders should continue to ensure the use of all available tools, including established ICS training and government/industry drills and exercises, to ensure District personnel achieve the level of skill required for applicable incident management activities.

### 3.3 District Level Support Resources

#### 3.3.1 DRATs and District Response Groups (DRGs)

Reference (h) updated DRAT guidance for technical support to the Sectors in oil and hazardous materials substance release incidents. For the purposes of NRF implementation within the Coast Guard, the DRAT forms the core of the District Response Group (DRG). The DRG is not an operational entity in the traditional sense; it is rather a concept that provides a framework within Districts to coordinate additional response resources, including equipment, experts and funds. The intent is for DRAT personnel and relevant DRG personnel and resources to support a District wide all-incident, all-hazard response posture. DRAT and DRG personnel and resources are expected to provide technical and subject matter expertise and support to help manage the increased workload resulting from larger responses to incidents or pre-planned events.

Sourcing – DRG positions are collateral duties drawing on unit personnel District wide. DRAT positions are primary duty positions identified in District personnel allowance lists.

Certification – Coast Guard District Commanders have the authority to identify and maintain their DRG personnel IAW the standards detailed in reference (h).

Activation/Deployment – ***District Commanders shall coordinate with their Sector Commanders to determine activation and deployment of DRATs and DRG resources and personnel.***

OPCON – District CC.

TACON – District CC, or requesting unit upon activation.

#### 3.3.2 District Incident Management Team (IMT) and Area Command

District IMTs augment and support the District Command Center. When appropriate, they serve as NIMS Area Commands as described in references (d), (g), (h), (i), (l), and (n).

When activated, District IMTs are also responsible for directing and coordinating tasking/ requests to Area CCs, RRCCs, neighboring Districts, and JFOs within their District's AOR. Additionally, IMTs are typically responsible for collecting statistical data, and maintaining situational awareness of Coast Guard actions being taken.

Sourcing – These positions are a collateral duty for active duty and reserve personnel assigned to the Districts.

Certification – District Commanders have the authority to identify, certify and maintain their IMTs.

Activation/Deployment – ***District Commanders shall activate their IMTs as dictated by incident response coordination optempo.***

OPCON – District Commander.

TACON – District Commander.

### 3.4 District Preparedness Metrics

Scheduled implementation of the following preparedness metrics will be communicated via the fiscal year (FY) 2011 Strategic Planning Direction (SPD). These metrics will be evaluated and communicated each year based on feedback and further study of these measures and their

effectiveness. This will be issued by the Deputy Commandant for Operations (DCO) during the third quarter of each fiscal year. ***District Commanders shall report attainment of the standards listed below IAW the timeline and submission process of the Standard Operational Planning Process (SOPP) Operational Planning Assessment Report (OPAR).***

- a) ***District Commanders shall ensure personnel are trained to fulfill  $\geq 75\%$  of the certifications necessary to augment and support Sectors in response to Type 3 incidents.***
- b) ***District Commanders shall ensure their Districts have the trained personnel to fulfill  $\geq 75\%$  of the certifications necessary to respond to Type 2 incidents, once Type 2 certification standards are promulgated.***
- c) ***District Commanders shall maintain WQSBs designating appropriate command and general staff positions. WQSBs shall address the contingencies that Districts are required to plan for, and expected IMT or DRG support to the Sectors. District plans shall contain a transition plan for subsequent operational periods during an incident that has the potential to overwhelm District resources.***

## **4 Command and Control Role of Areas (OPCOM within the Modernized Coast Guard)**

As envisioned in a modernized Coast Guard, OPCOM will execute the eleven missions via Districts. OPCOM will provide unified command and control for accomplishing Coast Guard mission objectives through integrated operations, coordinated leveraging of maritime partner relationships, foresight in planning, and aggressive employment of assets and capabilities within the assigned AOR.

***As Modernization within the Coast Guard progresses, the concepts and mandates within this section shall apply to the OPCOM Commander.*** Until that time this section applies equally to each Area Commander with regard to their respective AORs.

Coast Guard Areas oversee and coordinate operations within their AORs. Areas provide direction, guidance, support, and resource augmentation to the Districts. The Areas provide strategically-guided, goal-focused, high-performance service delivery across the full range of Coast Guard missions. Linkage is established between Area Command Centers and National Command Center (NCC at CGHQ) through DCO to the National Operations Center (NOC) and the National Response Coordination Center (NRCC) in Washington, DC. Area Commanders assist Districts and CGHQ with the resourcing requirements and Requests for Forces (RFFs) to activate JFO Support Teams. Within the Coast Guard preparedness and response management system, Areas (or OPCOM), with support from FORCECOM, Coast Guard service and logistics centers (or DCMS) and DCO, facilitate District and Sector requests for additional response management resources, and requests for Coast Guard resources from interagency partners.

### **4.1 Area (or OPCOM) Authority and Responsibilities**

***Collaboration Efforts*** – Areas (or OPCOM) plan, coordinate, and control all operations in any mission area to achieve strategic outcomes articulated in the Coast Guard Performance Plan and Budget, the Coast Guard Strategic Plan, and Commandant’s Direction.

***Command and Control*** – Areas (or OPCOM) serve as the senior operational commander for Coast Guard operations within each Area AOR. Areas (or OPCOM) direct the inter-district

aspects of operations and control any operations which, in the judgment of the operational commander, are most effectively coordinated by the Area level. Areas (or OPCOM) administer and direct activities of operating level units under the operational commander's immediate command.

*Liaison Activities* – Areas (or OPCOM) coordinate liaison activities with DCO. Such activities are described in section 7.1 and oversee District maintenance of liaison activities described in section 3.2. ***All District relations associated with military commands at the unified or specific command level shall be coordinated through the Area (or OPCOM).***

*Sourcing* – Areas (or OPCOM) direct the reassignment of resources to meet temporary, specific surge operational situations from other Districts within the Area, and manage requests for resources outside the Area IAW the RFF process.

*Training/Certification* – ***Area Commanders shall monitor and support the use of all available tools to ensure personnel achieve the level of skill required for applicable incident management activities.*** (This includes established ICS training and government/industry drills and exercises.) ***Area Commanders shall participate when appropriate with Sector and District-required exercises to provide the training and experience base for Area personnel involved in NRF-type response activities.***

## **5 The Support and Training Role of Areas (FORCECOM within the Modernized Coast Guard)**

As envisioned in a modernized Coast Guard, FORCECOM will maintain Coast Guard force-provider support for OPCOM, Districts, and Sectors. This support includes organizing, equipping, and training response teams and units especially as to doctrine and tactics, techniques, and procedures.

***As Coast Guard Modernization progresses, the concepts and mandates within this section shall apply to the FORCECOM Commander.*** Until that time, this section applies equally to each Area Commander.

### **5.1 FORCECOM Authority and Responsibilities**

*Collaboration Efforts* – ***In support of Districts (and OPCOM), FORCECOM shall maintain a supporting OPLAN that addresses OPCOM requirements in the Coast Guard OPLAN (references (o) and (p)), and other Coast Guard interagency plans as appropriate.***

*Command and Control* – ***FORCECOM shall provide resource coordination and support as necessary*** (or requested by OPCOM).

*Liaison Activities* – ***FORCECOM shall coordinate and support JFO team, DOG, Marine Transportation System Recovery Assist Teams (MTSRAT), and IMAT activation and deployment*** (in support of OPCOM).

*Sourcing* – FORCECOM support will be drawn from personnel throughout the Coast Guard.

*Training/Certification* – FORCECOM is the training and doctrine owner for the ICS certification process. ***The employment of certification authority shall be based on prudent screening of an individual's experience, judgment, maturity, and satisfactory completion of training and PQS requirements in reference (m).***

***During the ICS position certification process, FORCECOM shall identify and document gaps between PQS training requirements and availability of position specific ICS courses.***

Documentation of identified gaps will assist in the budgeting and prioritizing of future training. Additional guidance is contained in reference (m). ***Until the gaps are filled, Area (or FORCECOM), District, and Sector Commanders shall consider issuing interim ICS certification to suitable personnel in accordance with reference (m).*** Decisions to issue interim certification prior to completing all ICS requirements remain at the unit Commanding Officer level.

***Areas (or FORCECOM) shall ensure the use of all available tools (in coordination with OPCOM) to allow support resources to participate in Area (or OPCOM), District, and Sector level drills and exercises.*** These efforts should ensure personnel achieve the level of skill required for applicable incident management activities.

## **5.2 FORCECOM Support Resources**

### **5.2.1 Coast Guard Incident Management Assist Teams (IMATs)**

IMATs represent the highest level of ICS experience in the Coast Guard. Currently the Areas manage the identification, training, and deployment of the IMATs.

Areas (or FORCECOM) should place only the most flexible, experienced, and capable response management experts on the IMATs. IMATs are intended to provide assistance primarily to Sectors by augmenting personnel in the incident response organization. IMATs do not have Captain of the Port (COTP), Federal Maritime Security Coordinator (FMSC), Officer in Charge of Marine Inspection (OCMI), Federal On-Scene Coordinator (FOSC), or SAR Mission Coordinator (SMC) authorities. They are designed to augment and support Coast Guard operational commanders who possess those authorities. IMAT guidance will be revised and maintained by FORCECOM.

***Sourcing*** – These positions are a collateral duty for personnel throughout the Coast Guard who are selected as core team members.

***Training/Certification*** – ***FORCECOM shall identify, train, certify and maintain the Type 1 IMATs IAW reference (m).***

***Activation/Deployment*** – ***Incident Commanders shall request IMAT support through District and Area (or OPCOM) CCs through the RFF process.***

***OPCON*** – FORCECOM when not deployed; the respective Area (or OPCOM) Commander when deployed

***TACON*** – Upon activation Area (or OPCOM) Commander, or requesting unit.

### **5.2.2 Marine Transportation System Recovery Assist Teams (MTSRAT)**

Per reference (u), Areas have established and currently manage MTSRATs (FORCECOM is expected to assume responsibility for these teams under modernization). MTSRATs are specialized teams that augment Marine Transportation System Recovery Units (MTSRUs). They provide specialized MTS recovery expertise to local incident management organizations. MTSRATs will facilitate the reporting of MTS impact and the development of courses of action to achieve the recovery objectives of the Incident Commanders/Unified Commands (ICs/UCs).

They assist the ICs/UCs with MTS situational reporting in support of MTS Essential Elements of Information (EEI), through the use of the Common Assessment and Reporting Tool (CART).

Sourcing – These positions are a collateral duty staffed by personnel throughout the Coast Guard who are selected as one of the core team members.

Training/Certification – **FORCECOM shall identify and designate MTSRAT personnel.**

Activation/Deployment – Sector Commanders, as Coast Guard Incident Commanders, request MTSRAT support through District and Area (or OPCOM) CCs through the RFF process.

OPCON – FORCECOM when not deployed; the respective Area (or OPCOM) Commander when deployed.

TACON – Upon activation Area (or OPCOM) Commander, or requesting unit.

### **5.2.3 Coast Guard Joint Field Office (JFO) Support Team**

Reference (k) established a JFO support team at each District. When activated, these teams act as the Coast Guard Districts representative at the JFO(s). JFO support teams ensure the appropriate level of Coast Guard support for overall Federal response efforts. ***Districts and Areas (or OPCOM) shall connect with Coast Guard representatives within the JFOs to ensure resources and logistical support for Coast Guard operational commanders*** (e.g., FEMA logisticians may have access to hotel rooms in an impacted area). JFO Support Teams provide a direct link to the District Commander for determining Coast Guard resource availability, commitment for mission assignment tasking, situational awareness, and other critical issues.

Sourcing – These positions are filled as a collateral duty by personnel from throughout the Coast Guard. The support teams consist of 12-14 personnel, each led by an O-6.

Training/Certification – **FORCECOM shall identify, train, certify, and maintain JFO support teams IAW the requirements detailed in reference (k).**

Activation/Deployment – RRCCs or the NRCC notify Coast Guard District CCs or Area (or OPCOM) CCs, respectively, when a JFO is established. Requests from FEMA for representation may or may not include funding through mission assignments. If notifications occur through the District CCs, the District Commanders in the affected areas request activation of JFO teams through the RFF process to their Area (or OPCOM) Commander. FORCECOM may coordinate with the Area Commanders (or OPCOM), the Coast Guard service and logistics centers (or DCMS), and DCO as necessary to select and deploy a team from an unaffected region of the country.

OPCON – FORCECOM when not deployed; the respective Area (or OPCOM) Commander when deployed.

TACON – Area (or OPCOM) or District Commander.

### **5.2.4 Deployable Operations Group (DOG) Deployable Element (DE)**

The DOG DE deploys to assist the Lead Federal Agency (LFA) in establishing an interagency JFO as defined in reference (b). The JFO is most often established by FEMA under the Stafford Act, but may be established by any LFA when operating under the constructs of reference (a). The DOG DE acts as an advance team to assist the LFA in setting up and initially operating the JFO. Each team is activated for a maximum of 21 days.

Sourcing – Positions are a collateral duty for DOG personnel. The DOG DE consists of two teams of up to 21 personnel each.

Training/Certification – The DOG Commander has the authority to identify, certify and maintain the Deployable Element.

Activation/Deployment – All FEMA requests for the Coast Guard DOG DE will be communicated from the NRCC through DCO and Area (or OPCOM). When requested, the Coast Guard Action Officer in the NRCC will forward the request to the Area (or OPCOM) CC for further coordination with the DOG. ***The request shall include specific specialties required to properly support the JFO based on the response scenario.***

OPCON – FEMA FCOs or Areas (or OPCOM) when deployed.

TACON – FEMA FCOs or other LFAs if JFOs are not established under the Stafford Act.

### **5.3 FORCECOM Preparedness Metrics**

Scheduled implementation of the following preparedness metrics will be communicated via the fiscal year (FY) 2011 Strategic Planning Direction (SPD). These metrics will be evaluated and communicated each year based on feedback and further study of these measures and their effectiveness. This will be issued by the Deputy Commandant for Operations (DCO) during the third quarter of each fiscal year. ***FORCECOM shall report attainment of the standards listed below IAW the timeline and submission process of the Standard Operational Planning Process (SOPP) Operational Planning Assessment Report (OPAR).***

- a) ***FORCECOM shall identify, train, certify, maintain and ensure the readiness of personnel to fulfill  $\geq 75\%$  of the certifications necessary to support Area (or OPCOM) in response to Type 2 incidents, once Type 2 certification standards are promulgated.***
- b) ***FORCECOM shall identify, train, certify, maintain and ensure the readiness of personnel to fulfill  $\geq 75\%$  of the certifications necessary to support Area (or OPCOM) in response to Type 1 incidents, once Type 1 certification standards are promulgated.***
- c) ***FORCECOM shall maintain WQSBs for contingencies that FORCECOM has been tasked to support based on requirements developed by the Areas (or OPCOM).***

## **6 The Role Service and Logistics Centers (DCMS within the Modernized Coast Guard)**

As envisioned in a modernized Coast Guard, the Deputy Commandant for Mission Support (DCMS) will maintain the Coast Guard logistical supporting elements for OPCOM, Districts, and Sectors. OPCOM and Districts will facilitate and prioritize Sector requests for additional response management resources to DCMS through the RFF process.

***As the process of Modernization implementation progresses within the Coast Guard, the concepts and mandates within this section shall apply to DCMS and subordinate units.*** Until that time, this section applies equally to Coast Guard service and logistics center Commanding Officers with regard to their respective AOR.

## **6.1 Service and Logistics Centers (or DCMS) Authority and Responsibilities**

*Collaboration Efforts* – Coast Guard service and logistics centers (or DCMS) provide logistical and financial support to Area (or OPCOM) preparedness processes as outlined in references (o) and (p).

*Command and Control* – Coast Guard service and logistics centers (or DCMS) provide logistical coordination and support as requested to the Areas (or OPCOM) IAW references (q) and (r).

*Liaison Activities* – Coast Guard service and logistics centers (or DCMS) maintain the ability to coordinate and support logistical deployable resources activation and deployment in support of the Areas (or OPCOM) as outlined in references (q) and (r).

*Sourcing* – Drawn from personnel and equipment assigned to Coast Guard service and logistics centers (or DCMS).

*Training/Certification* – **Coast Guard service and logistics centers (or DCMS) shall continue to ensure the use of all available tools, including established ICS training. Coast Guard service and logistics centers (or DCMS) shall coordinate participation in Area (or OPCOM), District and Sector level drills and exercises** to ensure Coast Guard service and logistics center (or DCMS) personnel achieve the level of skill required for applicable incident management activities.

## **6.2 Service and Logistics Centers (or DCMS) Support Resources**

Coast Guard service and logistics centers (or DCMS) Deployable Teams, referred to as Emergency Response Teams (ERTs), are described in the MLCA and MLCP support plans (references (q) and (r)).

## **7 The Role of DCO**

The Deputy Commandant for Operations (DCO) provides policy to support incident response and management efforts, and maintains situational awareness of Coast Guard activities during incidents for Cabinet-level and Presidential briefings. DCO provides personnel to staff elements of the National Response Coordination Center (NRCC). This staffing includes a Senior Liaison Officer, a subject matter expert in Coast Guard Search and Rescue to support Emergency Support Function (ESF)-9 (Search and Rescue), and an ESF-10 watch to address oil and hazardous materials spills. All support that may be requested and coordinated at this level is described in reference (t).

### **7.1 DCO Authority and Responsibilities at the NRCC**

The NRCC coordinates national level Federal support for incidents through the 15 ESFs. The NRCC is responsible for numerous activities in support of the RRCC(s) and JFO(s) (when established) in response to actual or potential national disasters. Under the National Response Framework, the Coast Guard is listed as the primary agency for ESF-9 (Search and Rescue) and ESF-10 (Oil and Hazmat). It is a supporting agency across multiple other ESFs. During incident activation, the Coast Guard is typically represented by three positions within the NRCC: (1) the Coast Guard NRCC Service Liaison Officer (SLO); (2) a Coast Guard ESF-9 watchstander; and (3) a Coast Guard ESF-10 watchstander, all as described in reference (j). The SLO oversees the Coast Guard's interest in all ESFs. The Coast Guard ESF-9 watchstander partners with other

Search and Rescue agencies to coordinate national level search and rescue situational awareness. The Coast Guard ESF-10 watchstander partners with an EPA representative to address actual or potential oil and hazardous materials incidents, including biological, chemical, and radiological weapons of mass destruction.

All NRCC positions perform the following:

- 1) Liaison with FEMA, other interagency national level components, CG HQ program offices and the Areas (or OPCOM) for assignment of Coast Guard resources in support of Districts and their subordinate units;
- 2) Maintain incident situation awareness of Coast Guard activities at the NRCC watch desk;
- 3) Provide Coast Guard situational information and data input to the FEMA National Situation Report (SITREP) and Homeland Security Information Network (HSIN); and
- 4) Share information and communicate Coast Guard equities with JFO(s) and RRCC(s).

Sourcing – These positions are a collateral duty for active duty, civilian, and reserve personnel assigned to the DCO as detailed in reference (j).

Training/Certification – The Vice Commandant has authority to identify and – through the DCO – will certify, train, and maintain Coast Guard support to the NRCC, per reference (j).

Activation/Deployment – NRCC notifies DCO or the Areas (or OPCOM) of increased levels of activation and the need for Coast Guard representation.

OPCON – DCO.

TACON – Area (or OPCOM).

## 8 Interagency Constructs and Processes

### 8.1 Coast Guard Mission Assignment (MA) Process

Every day the Coast Guard performs operations within its 11 mission areas. Although it is especially focused on maritime emergencies, events involving a Stafford Act declaration and a subsequent state or Federal agency request for Coast Guard assistance require special attention.

***For requests outside traditional areas of operations, Coast Guard operational commanders shall consider availability of resources, the impact on the execution of required missions, and whether or not mission assignments and funding will be provided for these resources.***

A mission assignment (MA) is a unique Interagency Agreement governed by the Robert T. Stafford Act. It is intended to meet urgent immediate and short-term needs of a state that is unable to provide resources necessary to save lives, or protect public health, public safety, and property. More specifically, an MA is tasking issued by FEMA directing other Federal agencies and components of DHS to prepare for or respond to a Stafford Act event under the NRF.

When states or other agencies recognize a need for assistance, they communicate that need to the appropriate Regional Response Coordination Center, Joint Field Office or National Response Coordination Center through an Action Request Form (ARF). Typically, MAs are issued at the Regional/JFO level by the FCOs or other approved FEMA authorities. When FCOs receive ARFs and determine the Coast Guard is a viable option for assistance, the needs are communicated through the appropriate ESF, Coast Guard assigned liaisons, or Coast Guard JFO

Support Team personnel. Coast Guard representatives will coordinate the issuance – if appropriate – of MAs with the appropriate District Commands, Areas (or OPCOM), or their delegated command personnel. Occasionally the NRCC will issue mission assignments at the national level. For these cases, Coast Guard liaisons in the NRCC coordinate MA requests with DCO and Areas (or OPCOM) to determine whether or not MAs can be supported.

Once Districts or Areas (or OPCOM) accept mission assignments, the signed copies are forwarded to the Coast Guard District Command Centers or Areas (or OPCOM). (Note: Verbal issuance is acceptable to expedite resource mobilization so long as signed copies are eventually carried forward.) Appropriate personnel at the Administrative Target Units or the National Pollution Fund Center for ESF-10 MAs should then be notified so they can start documenting operations and processing the reimbursement package to recover costs for the Coast Guard IAW the Financial Resource Management Manual (reference(s)).

For example, in an ESF-10 (Oil and Hazardous Substances) scenario the tiered Coast Guard response normally proceeds as follows:

- 1) ***The Coast Guard FOSC's first action shall be to open the appropriate existing fund(s) to initiate assessment and response.***
- 2) ***District shall engage immediately with FEMA and EPA at the RRCC/JFO to request mission assignment either directly or through EPA.*** This engagement is likely to be performed through Coast Guard JFO support team personnel and NRCC liaisons.
- 3) ***Districts shall also immediately notify Area (or OPCOM) and DCO (CG-533) that they are seeking ESF-10 mission assignment.***
- 4) ***DCO (CG-533) shall engage with FEMA through Coast Guard liaisons at the NRCC to monitor the situation and provide support as necessary to ensure appropriate MAs are issued.***

### **8.1.1 Pre-Scripted Mission Assignments (PSMA)**

To facilitate rapid response and standardize mission assignments, FEMA and the Coast Guard have developed Pre-Scripted Mission Assignments (PSMAs). PSMAs provide template “statement of work” language and estimated costs for work typically performed by a Federal agency. PSMAs do not obligate the Coast Guard to perform pre-identified missions. PSMAs are aids to FEMA FCOs, Coast Guard JFO Support Teams, and other Coast Guard liaisons/representatives for quickly identifying mission support. PSMAs represent work outside the normal Coast Guard mission that may be requested. Both FEMA and the Coast Guard understand that ***each mission assignment (i.e., request for assistance) shall be considered by the requested agency – in this case, the Coast Guard – on an incident-specific basis.*** Agencies can either accept or reject the request based on current and expected operational demands. The 2009 Pre-scripted Mission Assignment Templates have been approved and promulgated by FEMA (see reference (t)).

## **8.2 NRF Task Organization**

### **8.2.1 National Response Coordination Center (NRCC) Roles and Responsibilities**

As noted earlier, the NRCC is the national response and recovery center that coordinates Federal support for incidents through the 15 ESFs identified in the NRF. As one of the five principal components of the National Operations Center, the NRCC is responsible for numerous activities in support of JFOs and Federal incident responses, including:

- 1) Federal force provision;
- 2) Resource coordination;
- 3) Operational situational awareness and oversight;
- 4) Operations planning support of Federal field operations; and
- 5) Management of unexpected events.

Consequently, the NRCC is a major hub of emergency management coordination for DHS. It is a critical conduit in the national emergency management decision-making and communication process.

### **8.2.2 Regional Response Coordination Center (RRCC) Roles and Responsibilities**

The RRCC is the regional interagency coordination center. It has primary responsibility for operations until JFOs are established and operational. The RRCC may support operations in several of the states in a FEMA Region. Normally, the RRCC issues MAs to activate the ESFs at the regional level, establish logistical and operational support facilities, and stage teams and resources.

### **8.2.3 Transition from RRCC to the Joint Field Office (JFO)**

A JFO is the temporary Federal facility that provides a central location for the coordination of Federal, state, Tribal, local governments, and private sector and nongovernmental organizations with primary responsibility for response and recovery. The JFO does not manage on-scene operations. Instead, it focuses on providing support to on-scene response efforts and conducts broader support operations that may extend beyond the incident site. The RRCC will maintain these duties until the JFO is fully operational.

## **9 Future Plans**

Beginning in FY 2010, Coast Guard program managers will annually evaluate information received in After Action Reports and Lessons Learned submitted to the Office of Incident Management and Preparedness (CG-533) through the Office of Contingency Exercises (CG-535) within the Contingency Preparedness System (CPS) system. When appropriate, the Coast Guard will coordinate response hot wash and lessons learned via CG-533 liaisons to FEMA. For significant disaster operations affecting more than one District, CG-533 and CG-535 will coordinate after action reporting criteria and submission timelines with the Area(s) (or OPCOM).

This Instruction will be revised as needed to reflect lessons learned and best practices collected during the year. Reference (m) will be officially implemented through the thorough revision of references (g) and (i).

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