

**California
Emergency
Support
Function 5**

Management

**Annex to the California
State Emergency Plan**

Lead Agency:

**California
Governor's Office
of Emergency
Services**



**Management
CA-ESF 5**

April 2021

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Record of Changes

The most current copy of this annex, including any changed pages, is available through the Planning and Preparedness Branch of the California Governor's Office of Emergency Services at 3650 Schriever Avenue, Mather, CA 95655. Copies are also available on the [Planning and Preparedness Branch web page](#).

Change #	Date	Summary of Changes
1	4/29/21	Added discussions on the Unified Coordination Group (UCG), the CA-ESF Working Group and the newly established Situation Cell. Clarified state-federal coordination and made minor corrections for spelling and grammar usage.

Table of Contents

Table of Contents

Record of Changes..... 2

Table of Contents..... 3
Emergency Support Function Agencies/Departments..... 5

SECTION 1 6

Introduction..... 6
Introduction 6
Purpose 6
Scope 6
Interactions with Other CA-ESFs 7
Authorities..... 7

SECTION 2 10

Organization and Assignment of Responsibilities..... 10
Organization..... 10
Emergency Operations Center Support Structure 10
CA-ESF 5 Administration Structure..... 13

SECTION 3 14

Concept of Coordination..... 14
General..... 14
Preparedness/Mitigation Activities 14
Response 15
Alert and Notification 15
Communications 15
Situational Awareness and Information Analysis..... 15
Demobilization 16
Transition to Recovery and Recovery Support Functions 16

SECTION 4 18

Annex Maintenance 18
Annex Updates 18

Training and Exercising 18

ATTACHMENT A: Glossary of Acronyms..... 19

ATTACHMENT B: California Emergency Support Functions 20

Emergency Support Function Agencies/Departments

Lead Agency/Department

Governor's Office of Emergency Services

Supporting Agencies

All other state agencies

Introduction

The State of California Emergency Plan (SEP) establishes the California Emergency Support Functions (CA-ESFs), which were designed to bring together discipline-specific stakeholders at all levels of government to collaborate and function within the four phases of emergency management including mitigation, preparation, response and recovery. Each CA-ESF consists of an alliance of state agencies, departments, and other stakeholders with similar functional responsibilities. The Governor's Office of Emergency Services (Cal OES), the lead agency for Emergency Support Function 5 – Management (CA-ESF 5), performs overarching functions to support the four phases of emergency management and has corresponding authorities, plans, policies, and operating procedures to support its broad range of responsibilities in all aspects of state emergency response.

CA-ESF 5 and the CA-ESF 5 Annex more narrowly focus on Cal OES responsibilities in coordinating with the other 18 CA-ESFs. The emergency support functions themselves are the stakeholders that CA-ESF 5 brings together for collaboration.

Purpose

The purpose of the CA-ESF 5 Management Annex is to define CA-ESF 5 actions and roles to support all the CA-ESF stakeholder agencies. The purpose and mission of CA-ESF 5 is to work with all the CA-ESF agencies to identify and share best practices and to enhance emergency management by supporting effective coordination and integration among their stakeholders.

Scope

According to the SEP, CA-ESF 5 coordinates and resolves issues among the CA-ESFs in the four phases of emergency management to ensure consistency in the development and maintenance of the SEP annexes. The Management Team for CA-ESF 5 consists of senior level representatives from the Cal OES Planning, Response, and Recovery Branches. During emergencies, CA-ESF 5

transitions into statewide leadership under SEMS and its functions including Mutual Aid, EOCs, and Resource Management.

CA-ESF 5 core functions include:

➤ **Provide CA-ESF development support:**

The CA-ESF 5 offers planning and preparedness support to all CA-ESFs and addresses issues and concerns that require collaboration across the CA-ESFs.

➤ **Provide incident planning support:**

The CA-ESF-5 manages the development and maintenance of the state's planning guidance materials, and implementation of emergency planning policy and guidance for which Cal OES has lead agency responsibility. Prior to response activities, the CA-ESF 5 assists other state agencies in developing their own emergency preparedness and response plans in accordance with the SEMS, NIMS, and the State Emergency Plan.

➤ **Provide CA-ESF information linkages:**

The CA-ESF 5 provides information updates to CA-ESF stakeholders and serves as a conduit of information regarding CA-ESF activities.

Interactions with Other CA-ESFs

CA-ESF 5 provides support to all emergency support functions through the coordination and scheduling of CA-ESF working group meetings, guidance on mission roles and responsibilities, participation in CA-ESF lead agency committees, and coordinating training sessions between Cal OES Incident Support Teams (IST) and individual CA-ESFs.

Authorities

The CA-ESFs are established in the SEP. The SEP provides a consistent, statewide framework to enable state, local, tribal, and federal governments and the private sector to work together to mitigate, prepare for, respond to, and recover from the effects of emergencies regardless of cause, size, location, or complexity. Government Code §8560 establishes the SEP as the emergency plan for the State of California.

The Cal OES is delegated authority by the governor to implement the California Emergency Services Act (ESA) and perform executive functions assigned by the governor to support and enhance all phases of emergency management. This includes the promulgation of guidelines to state government to support California's Emergency Management System.

➤ **State Level Emergency Coordination:**

During a state of war emergency, a state of emergency, or a local emergency, the Cal OES director coordinates the emergency activities of all state agencies in response to the emergency and has the authority to use any state government resource to fulfill resource requests or to support emergency operations.

➤ **State-Federal Coordination:**

When an emergency occurs that exceeds, or is anticipated to exceed, resources located within the state, the federal government will implement the National Response Framework (NRF) to access federal department and agency capabilities, organize the federal response, and ensure coordination with all response partners. The Federal Emergency Management Agency (FEMA) Region IX and Cal OES have outlined the mechanism by which they will integrate efforts in the California Catastrophic Incident Base Plan: Concept of Operations.

The Concept of Operations (CONOP) describes the integration of federal resources into the state-led response to a catastrophic incident to achieve unity of effort and in concert with State of California Emergency Plan and the Standardized Emergency Management System (SEMS).

To meet the response needs of a catastrophic incident, the state and federal governments form a Unified Coordination Group (UCG) to consolidate incident-related operational elements. The UCG does not assume responsibility for field-level incident command activities but provides a structure for the command, control, and coordination of state and federal resources.

The Federal Government coordinates much of its resources and capabilities—as well as those of certain private-sector and

nongovernmental organizations—through ESFs. While similar to the federal ESFs, the CA-ESFs are established to augment state operations.

Table 1: Authorities

Statute / Regulation	Summary of Article or Section
California Emergency Services Act, Article 3	The governor may assign to a state agency any activity concerned with the mitigation of the effects of an emergency of a nature related to the existing powers and duties of such agency, including interstate activities, and it shall thereupon become the duty of such agency to undertake and carry out such activity on behalf of the state.
Government Code Section 8607	The California Emergency Services Act (ESA) establishes the Standardized Emergency Management System (SEMS) that is followed in the State of California.
Government Code Section 8568	The SEP provides a consistent, state-wide framework to enable state, local and tribal governments, federal government, the private sector, and volunteers to work together to mitigate, prepare for, respond to, and recover from the effects of emergencies regardless of cause, size, location, or complexity. The SEP is developed under the authority conveyed to the governor in accordance with the California ESA. The SEP establishes the use of CA-ESFs to support emergency response functions.

Organization and Assignment of Responsibilities

Organization

Emergency support functions unify a broad spectrum of stakeholders with various capabilities, resources and authorities to improve collaboration and coordination for a particular discipline. They also provide a framework for the state government to support regional and community stakeholder collaboration and coordination at all levels of government and across overlapping jurisdictional boundaries. CA-ESF stakeholders are frequently involved in response under their agency's delegated response authorities, and the breadth and complexity among CA-ESF stakeholders requires active coordination to assure continuous awareness and collaboration.

CA-ESF 5 provides coordination and assures collaboration among the CA-ESFs, both in planning and preparedness activities, and during response and recovery. CA-ESF 5 provides support during non-response periods by providing staff who are involved in planning and preparedness support to individual CA-ESFs, as well as responsible for addressing issues and concerns that require collaboration across multiple CA-ESFs. During an emergency response, these individuals may be deployed to EOCs, DOCs, and Field Offices alongside the CA-ESF Coordinators to promote collaboration and coordination among the activated CA-ESF agencies.

During complex incidents requiring full activation of the CA-ESFs, CA-ESF 5 will employ Cal OES Incident Support Teams (IST) to provide structure and leadership in key positions in the EOC. This facilitates the quick and efficient deployment of CA-ESF Coordinators. As an incident progresses, the Cal OES Director may activate a Unified Coordination Group (UCG) to establish resource priorities and ensure that, regardless of the number of agencies or jurisdictions involved, all decisions will be based on specific priorities.

Emergency Operations Center Support Structure

Traditionally, when providing support to the Regional Emergency Operations Center (REOC) or the State Operations Center (SOC), an Agency

Representative deploys to that operations center. Agency Representatives have three principal functions:

- Provide in-depth knowledge of and information from the agency they represent.
- Speak or act on behalf of their agency, within established policy limits.
- Provide information and situation status information to and from the agency they represent.

A REOC or the SOC may also request a CA-ESF Coordinator to assist during response. The distinctions between CA-ESF Coordinators and the Agency Representatives are:

- CA-ESF Coordinators provide broad knowledge of, or know who to contact, for in-depth knowledge of the core functions of their emergency support function. CA-ESF Coordinators have broad knowledge of the stakeholders and the roles, responsibilities, and capabilities within their discipline versus in-depth knowledge regarding one agency.
- The CA-ESF Coordinators do not speak on behalf of the stakeholders within their emergency support function but can provide general information regarding the types of capabilities that may be available among the stakeholders of their emergency support function.
- CA-ESF Coordinators ensure information and situation status information regarding the emergency support function stakeholder's activities is incorporated into situation status reports.
- CA-ESF Coordinators may reside in the DOC of the lead agency for the CA-ESF that they represent.
- CA-ESF Coordinators act as liaisons and communicate with the larger ESF stakeholders' group (public or private.)

Under select circumstances, one individual may be able to execute both the agency representative function and the types of assistance required of a CA-ESF Coordinator. However, during large scale or catastrophic events, or when multiple and diverse stakeholders within a CA-ESF are actively supporting response, it is likely that both agency representatives and CA-ESF Coordinators will be necessary.

When activated, the SOC is responsible for coordinating resource requests and resolving priority issues that might arise at the region level, between the three

Cal OES Administrative Regions. The SOC is also responsible for coordinating with the Federal Emergency Management Agency (FEMA) and other federal agencies involved in the implementation of the National Response Framework (NRF) in California. Another primary response function of the SOC is to provide on-going inter-agency coordination with state agencies involved in the response effort. This is typically accomplished through state Agency Representatives assigned to the SOC.

During catastrophic events, and other circumstances that warrant them, the SOC may also create ad-hoc task forces to solve specific problems. These task forces are made up of key personnel from various functional areas or disciplines assigned by the SOC Director. Catastrophic planning efforts have identified key task forces likely to be required. Some CA-ESF annexes also address the use of task forces to coordinate the activities of CA-ESF stakeholders. When creating task forces, the SOC Director will address CA-ESF stakeholder participation in the task forces and ensure that redundancy does not occur between an emergency support function and SOC task forces.

Representatives from the various CA-ESFs will participate in task forces, when appropriate. The CA-ESF 5 Management Team may also serve in an advisory capacity to the SOC Director regarding emergency support function integration into emergency response.

Lead Agency

Cal OES is the Lead Agency responsible for the management oversight of CA-ESF 5. Cal OES is assigned to lead CA-ESF 5 based upon its authorities, resources, and capabilities in the SEP and has ongoing responsibilities throughout the preparedness, mitigation, response, and recovery phases of emergency management. Cal OES provides the leadership, ongoing communication, coordination, and oversight for CA-ESF 5 activities throughout the related phases of emergency management.

CA-ESF 5 Administration Structure

The Management Team for CA-ESF 5 consists of senior level representatives from the Cal OES Planning, Response, and Recovery Branches. The CA-ESF 5 Management Team members will review and make final recommendations regarding unresolved CA-ESF issues and facilitate consensus decision-making. The Management Team will make recommendations to the Cal OES Director regarding administration and coordination of the CA-ESFs.

A CA-ESF Working Group of lead agency representatives from each of the CA-ESFs has been established to assist the CA-ESF 5 Management Team with coordination and recommendations for the administration of the CA-ESFs. The CA-ESF 5 Working Group will convene as needed to address near-term and long-term goals. The CA-ESF 5 Working Group will research issues and develop recommendations for consideration. The CA-ESF 5 Working Group should respond to the needs and directives of the CA-ESF Management Team, providing periodic briefings on progress and reporting findings and recommendations.

To support the lead agencies in developing and maintaining the CA-ESFs, Cal OES has developed a planning team comprised of management and staff to support the development process and ensure consistency of the annexes. Additional government and non-government representatives may also be included to participate in the CA-ESF 5 Working Group based on need.

General

Cal OES is delegated authority by the governor to implement the Emergency Services Act (ESA) and perform executive functions assigned by the governor to support all phases of emergency management. Cal OES support to the CA-ESFs occurs during the preparedness, mitigation, response, and recovery phases of emergency management.

Preparedness/Mitigation Activities

Cal OES preparedness responsibilities include:

- Maintaining the CA-ESF 5 Annex to the SEP that describes the role of CA-ESF 5 to:
 - Support, maintain and improve the CA-ESFs during each emergency management phase (preparedness, mitigation, response, and recovery).
 - Coordinate an effective response among the CA-ESFs when an emergency occurs.
 - Integrate the CA-ESFs seamlessly with the SEMS.
- Soliciting participation and support from the emergency management community of state, local, federal, and non-governmental organizations on emergency support function concepts and processes.
- Clarifying CA-ESF roles, and responsibilities, as needed, and coordinating cross-emergency support function planning, as necessary.
- Ensure that the CA-ESFs concepts are integrated into training for Incident Support Teams, Operational Readiness Teams, agency representatives, and other state/federal agencies.
- Identifying stakeholders to participate in the Working Group meetings. The Cal OES Preparedness Branch will facilitate meetings and brief the Working Group on disaster planning and preparedness activities.
- Developing and maintaining catastrophic emergency plans, assisting state agencies with their Administrative Orders, and providing technical support for Task Force planning.

Response

Alert and Notification

When an emergency or disaster occurs or has the potential to occur, the California State Warning Center (CSWC) serves as the center for state agency alerts and notifications. Notification and mobilization of the CA-ESFs are described as follows:

- **Warning Center** - The CSWC notifies state agencies and departments of emergencies based on the hazard type, agency authorities, and established notification procedures.
- **Duty Officer** - Each state agency with emergency response capabilities assigns a duty officer or other 24-hour point of contact that is kept on file at the CSWC. Duty Officers are notified of emergencies based on established protocols.
- **SOC Director** - In the event an activation of the SOC is warranted Cal OES will activate an Incident Support Team. If needed, the Cal OES SOC Director will notify lead CA-ESF agencies to deploy CA-ESF Coordinators to the SOC, REOC, or other essential facilities.

Communications

CA-ESF 5 will rely on communication mechanisms and protocols established by the SOC and CSWC.

Situational Awareness and Information Analysis

The Cal OES Situation Cell serves as the lead unit for identifying potential near-term threats, analyzing the potential impact of those threats, and producing reports for key stakeholders. The Situation Cell functions as a unit within the CSWC, and provides daily operations reports, incident reports, and threat analysis. The Situation Cell is responsible for transitioning reporting responsibilities to the SOC Planning Section in the event of a SOC activation following a CSWC Enhanced Watch posture.

The SOC and REOC Planning and Intelligence Sections are responsible for the collection, evaluation, and documentation of information about the development of the incident and the status of resources. The Planning and

Intelligence Section prepares situation status reports during each operational period. Situation status reports may be organized according to the CA-ESF. The CA-ESF 5 provides information and updates to the Planning and Intelligence Section at its request.

When activated, CA-ESFs are required to submit Sit-Stat reports daily at specified times within the operational periods.

When transitioning from SOC activation to CSWC Enhanced Watch posture, the Situation Cell takes over reporting responsibilities from the SOC Planning Section.

Demobilization

As resources are no longer needed to support the response, or the response activities cease, resources are demobilized. Demobilization includes provisions to address and validate the safe return of resources to their original location and include processes for resource tracking and ensuring applicable reimbursement. Where applicable, the demobilization should include compliance with mutual aid and assistance provisions.

At the conclusion of demobilization efforts, each CA-ESF lead agency involved in the response is required by SEMS regulation to complete an after action report and transmit its report to Cal OES. Cal OES will summarize these reports and publish an overall after action report that reviews the public safety response and disaster recovery activities.

Transition to Recovery and Recovery Support Functions

The CA-ESF 5 may remain active in support of initial recovery activities. In the immediate aftermath of a disaster some post-incident recovery activities occur simultaneously with response mission activities. The transition from response into recovery includes the change from short-term life and property preservation to long-term recovery strategies and activities. Many core functions within the CA-ESFs continue into recovery and require continued coordination with state and federal Recovery Support Function (RSF) counterparts.

To effectively deliver support to local and tribal governments, it is critical the response and recovery mission areas recognize the timing overlaps in their activities. During this overlap, state/federal ESF operational activities will, when

necessary, begin to transition to the associated RSFs. The UCG and the JFO remain the focus of joint state/federal operations and FEMA and Cal OES establish a joint recovery operation. During this time, direction and control of the State's operations are transferred from the SOC Director to the State Coordinating Officer (SCO) and then to the State Disaster Recovery Coordinator (SDRC), if one has been appointed. For disasters that do not rise to the level of a Presidential Disaster Declaration, response operations are transferred directly from the SOC Director to the Cal OES Deputy Director of Recovery Operations.

It is important to note that while the National Response Framework (NRF) organizes operational activities into common federal-ESFs, the National Disaster Recovery Framework (NDRF) likewise organizes common recovery operations into six Recovery Support Functions (RSFs). The integration of NRF and NDRF activities at the outset of an incident is paramount to seamlessly transitioning from response to recovery.

California has likewise established the California Disaster Recovery Framework (CDRF) organized around six California Recovery Support Functions (CA-RSFs). While there is not a specific Management CA-RSF, the administrative coordination is well integrated into supporting the recovery needs of the six CA-RSFs. The key consideration here is that response and recovery operations can and should happen concurrently. The best time to start planning recovery operations is when response operations commence.

Annex Updates

CA-ESF Annexes will be reviewed annually and updated on a five year basis, or as needed.

Thresholds for reviewing and updating an annex outside of the five year maintenance cycle include, but are not limited to:

- Changes to state or federal Law
- State or federal emergency management procedural change
- Critical corrective actions to address lessons learned from activations and/or exercises
- Development of or advancement in emergency response capabilities
- Periodic review as recommended by SEMS

Proposed changes should complement existing authorities, regulations, statutes and other plans. After the updates to the annex have been made, a summary of the changes should be sent out to all the CA-ESF stakeholders with the updated document.

Training and Exercising

Training and exercise provides CA-ESF stakeholders opportunities to update and refresh skills, while introducing new members to CA-ESF 5 protocols, and further develops relationships with other stakeholders of CA-ESF 5.

CA-ESFs are encouraged to develop and maintain a robust training and exercise schedule that centers on the whole community and includes both response and recovery practices and operations. They should also initiate a process to ensure continual annex updates in response to changing conditions.

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ATTACHMENT A Glossary of Acronyms

Glossary of Acronyms	
Term/Acronym	Definition
CA-ESF	California Emergency Support Function
CalEOC	California Emergency Operations Center System
Cal OES	California Governor's Office of Emergency Services
CDRF	California Disaster recovery Framework
CSWC	California State Warning Center
DOC	Department Operations Center
ESA	California Emergency Services Act
ESF	Federal Emergency Support Functions
FEMA	Federal Emergency Management Agency
IST	Incident Support Team
JFO	Joint Field Office
NDRF	National Disaster Recovery Framework
NRF	National Response Framework
REOC	Regional Emergency Operations Centers
RSF	Recovery Support Function
SCO	State Coordinating Officer
SDRC	State Disaster Recovery Coordinator
SEMS	Standardization Emergency Management System
SEP	State of California Emergency Plan
SOC	State Operations Center
UCG	Unified Coordination Group

ATTACHMENT B
California Emergency Support Functions (CA-ESFs)

#	Emergency Support Function	Lead Agency
1	Transportation	Business Transportation and Housing
2	Communications	California Governor's Office of Emergency Services
3	Construction and Engineering	State and Consumer Services Agency
4	Fire and Rescue	California Governor's Office of Emergency Services
5	Management	California Governor's Office of Emergency Services
6	Care and Shelter	Health and Human Services Agency
7	Resources	State and Consumer Services Agency
8	Public Health and Medical	Health and Human Services Agency
9	Search and Rescue	<i>This Function has been merged into CA-ESF 4 and CA-ESF 13 as appropriate.</i>
10	Hazardous Materials	California Environmental Protection Agency
11	Food and Agriculture	Department of Food and Agriculture
12	Utilities	Resources Agency
13	Law Enforcement	California Governor's Office of Emergency Services
14	Long-Term Recovery	State and Consumer Services Agency / Business,
15	Public Information	California Governor's Office of Emergency Services
16	Evacuation	<i>This Function has been combined with CA-ESF 13</i>
17	Volunteer and Donations	California Volunteers
18	Cybersecurity	California Technology Agency