

**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.
2	10/22/24	Removed references to Regional Emergency Operations Center (REOC)

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### Introduction

#### Introduction

The State of California Emergency Plan (SEP) establishes the California Emergency Support Functions (CA-ESFs). These emergency support functions are designed to bring together discipline-specific stakeholders at all levels of government to collaborate and function within the four phases of emergency management: 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 the CA-ESF 5 – Management performs overarching functions to support all 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.

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

#### Purpose

The purpose of the CA-ESF 5 - Management is to define the CA-ESF 5 actions and roles to support all the CA-ESF stakeholder agencies. The purpose and mission of this emergency support function is to partner 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, the CA-ESF 5 coordinates and resolves issues among the CA-ESFs in all phases of emergency management to ensure consistency in the development, maintenance, and execution of the CA-ESFs. The management team for the CA-ESF 5 consists of senior level representatives from the Cal OES Planning, Response, and Recovery Branches. During emergencies, the CA-ESF 5 transitions into statewide leadership under the 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 the 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 that the 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 SEP.

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

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

### **Interactions with Other CA-ESFs**

The 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 the Cal OES Response Operations, and individual CA-ESFs.

### **Authorities**

The CA-ESFs are established in the SEP. The SEP is a consistent, statewide framework to enable state, local, tribal, and federal governments, private sector, and individuals to work collaboratively, utilizing the Whole Community Planning Approach to mitigate, prepare for, respond to, and recover from the effects of disasters regardless of cause, size, location, or complexity. The California Government Code (GC), Section 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 the Cal OES have outlined the mechanism by which they will integrate efforts in the California Catastrophic Incident Base Plan (CIBP): Concept of Operations (CONOP).

The CONOP describes the integration of federal resources into the state-led response to a catastrophic incident to achieve unity of effort in alignment with the SEP and the 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 (i.e. American Red Cross), through federal 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
<b>California Emergency Services Act (ESA), Article 3</b>	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.
<b>California Government Code, Section 8607</b>	The California Emergency Services Act (ESA) establishes the Standardized Emergency Management System (SEMS) that is followed in the State of California.

<p><b>California Government Code, Section 8568</b></p>	<p>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.</p>
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# Organization and Assignment of Responsibilities

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## 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. The 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.

The CA-ESF 5 – Management, provides coordination and assures collaboration among the CA-ESFs, both in planning and preparedness activities, mitigation, and during response and recovery. The CA-ESF 5 provides support during non-response periods by providing staff who are involved in planning support to individual CA-ESFs, and address issues and concerns that require collaboration across multiple emergency support functions. During an emergency response, these individuals may be deployed to the Cal OES Regions, Operational Area (OA) EOCs or Department Operations Centers (DOCs), to assist the CA-ESF Coordinators to promote collaboration and coordination among the activated CA-ESF supporting agencies.

During complex incidents requiring full activation of the CA-ESFs, the CA-ESF 5 will employ Cal OES Incident Support Teams (ISTs) to provide structure and leadership in key positions in the OA EOCs, and the SOC. This facilitates the quick and efficient deployment of CA-ESF Coordinators. As an incident progresses, the Cal OES Director may activate a 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 Cal OES Regions, or the SOC, an Agency Representative (AREP) deploys to a Region or the SOC.

AREPs 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 Cal OES Region or the SOC may also request a CA-ESF Coordinator to assist during response. The distinctions between CA-ESF Coordinators and the AREPs are:

- The 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.
- The CA-ESF Coordinators ensure information and situation status information regarding the emergency support function stakeholder's activities is incorporated into situation status reports.
- The CA-ESF Coordinators may reside in the DOC of the lead agency for the CA-ESF that they represent.
- The CA-ESF Coordinators act as liaisons and communicate with the larger ESF stakeholders' group (public or private), and the California Recovery Support Functions, if necessary.

Under select circumstances, one individual may be able to execute both the AREP 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 AREPs and CA-ESF Coordinators will be necessary.

When activated, the SOC is responsible for coordinating resource requests and resolving priority issues that might arise between the three Cal OES Administrative Regions. The SOC is also responsible for coordinating with the FEMA Region IX and other federal agencies involved in the implementation of the NRF in California. Another primary response function of the SOC is to provide on-going interagency coordination with state agencies involved in the response effort. This is typically accomplished through AREPs assigned to the SOC.

During catastrophic events, and other circumstances that warrant them, the SOC may also create Ad Hoc Task Forces (TFs) to solve specific problems. These TFs are made up of key personnel from various functional areas or disciplines assigned by the SOC Director. Catastrophic planning efforts have identified key

TFs likely to be required. Some CA-ESF annexes also address the use of TFs to coordinate the activities of CA-ESF stakeholders. When creating TFs, the SOC Director will address the CA-ESF stakeholder participation and ensure that redundancy is not occurring between an emergency support function and a TF.

Representatives from the various CA-ESFs will participate in TFs, 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**

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

### **CA-ESF 5 Administration Structure**

The management team for the CA-ESF 5 – Management 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 additionally make recommendations to the Cal OES Director regarding administration and coordination of the CA-ESFs.

A CA-ESF Workgroup of lead agency representatives from each of the CA-ESFs was established to assist the CA-ESF 5 Management Team with coordination and recommendations for the administration of the CA-ESFs. The CA-ESF Workgroup will meet multiple times a year to address near-term and long-term goals, discuss capabilities and gaps, and collaborate with their CA-RSF partners. The CA-ESF Workgroup will address issues and develop recommendations for resolution. The CA-ESF Workgroup responds to the needs/issues of all CA-ESFs, and directives of the CA-ESF 5 management team, as appropriate.

To support the Coordinating and Lead CA-ESF agencies in developing and maintaining the CA-ESFs, the Cal OES has assigned the Emergency Functions Planning Unit, a planning team comprised of management and staff to support the CA-ESF development, update, and maintenance process to ensure consistency of the annexes, and alignment with the SEP. Additional government and non-government representatives may also be included to participate in the CA-ESF Workgroup as needed.

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## Concept of Coordination

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### General

The Cal OES is delegated authority by the governor to implement the ESA and perform executive functions assigned by the governor to support all phases of emergency management. The Cal OES support to the CA-ESFs occurs during all phases of emergency management.

### Preparedness/Mitigation Activities

The Cal OES preparedness responsibilities include:

- Maintaining the CA-ESF 5 – Management Annex to the SEP that describes the role of the CA-ESF 5 to:
  - Support, maintain and improve the CA-ESFs during all phases of emergency management (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 the 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 the Cal OES SOC staff, Incident Support Teams and Operational Readiness Teams, agency representatives, and other state/federal agencies.
- Identifying stakeholders to participate in the Workgroup meetings. The Cal OES Emergency Functions Unit will facilitate meetings and brief the Workgroup 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, the Cal OES will activate their permanent SOC staff, and an IST, if needed for additional support. If warranted, the Cal OES SOC Director will notify The Coordinating and Lead CA-ESF agencies to assign their CA-ESF Coordinators to the SOC, a Cal OES Region, or other essential facilities.

### Communications

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

### Situational Awareness and Information Analysis

The Cal OES Situation Cell (SitCell) 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 SitCell functions as a unit within the CSWC, and provides daily operations reports, incident reports, and threat analysis. The SitCell 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 the SOC 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 (Sit-Stat) reports during each operational period. Sit-Stat reports may be organized according to the CA-ESF. The CA-ESF 5 provides information and updates to the Planning and Intelligence Section as requested.



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 SitCell 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 Coordination and Lead agency involved in the response is required by the SEMS regulation to complete an after-action report (AAR) and transmit its report to the Cal OES. The Cal OES will summarize these reports and publish an overall AAR 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 immediate 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 CA-RSFs and federal 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, the CA-ESF and federal ESF operational activities will, when necessary, begin to transition to the associated CA-RSFs and federal RSFs. The UCG and the Joint Field Office remain the focus of joint state/federal operations, and the FEMA and the 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 Recovery Operations Directorate.

It is important to note that while the NRF organizes operational activities into common federal-ESFs, the National Disaster Recovery Framework (NDRF) likewise

organizes common recovery operations into six RSFs. The integration of the NRF and NDRF activities at the outset of an incident is paramount to seamlessly transitioning from response to recovery.

California has established the California Disaster Recovery Framework (CDRF) that aligns with the NDRF. The CDRF is organized around six 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 Maintenance

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#### Annex Updates

The CA-ESF 5 Management Annex 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, other plans, and federal guidance. 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 provide all CA-ESF stakeholders opportunities to update and refresh skills, while introducing new members to the CA-ESF 5 protocols, and further develops relationships with other stakeholders of the CA-ESF 5.

All 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**

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<b>Glossary of Acronyms</b>	
<b>Term/Acronym</b>	<b>Definition</b>
<b>AAR</b>	After-Action Report
<b>AREP</b>	Agency Representative
<b>CA-ESF</b>	California Emergency Support Function
<b>CA-RSF</b>	California Recovery Support Function
<b>Cal OES</b>	California Governor's Office of Emergency Services
<b>CDRF</b>	California Disaster recovery Framework
<b>CSWC</b>	California State Warning Center
<b>DOC</b>	Department Operations Center
<b>EOC</b>	Emergency Operations Center
<b>ESA</b>	California Emergency Services Act
<b>ESF</b>	Federal Emergency Support Functions
<b>FEMA</b>	Federal Emergency Management Agency
<b>IST</b>	Incident Support Team
<b>NDRF</b>	National Disaster Recovery Framework
<b>NRF</b>	National Response Framework
<b>OA</b>	Operational Area
<b>RSF</b>	Federal Recovery Support Function
<b>SCO</b>	State Coordinating Officer

<b>SDRC</b>	State Disaster Recovery Coordinator
<b>SEMS</b>	Standardization Emergency Management System
<b>SEP</b>	State of California Emergency Plan
<b>SitCell</b>	Situation Cell
<b>Sit-Stat</b>	Situation Status (Reports)
<b>SOC</b>	State Operations Center
<b>TF</b>	Task Force
<b>UCG</b>	Unified Coordination Group

## California Emergency Support Functions (CA-ESFs)

#	Emergency Support Function	Lead Agency
1	Transportation	Business Transportation and Housing Agency
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

#	Emergency Support Function	Lead Agency
16	Evacuation	<i>This Function has been combined with CA-ESF 13</i>
17	Volunteer and Donations Management	California Volunteers
18	Cybersecurity	California Technology Agency