Section 1:
ESF #3 Concept of Operations

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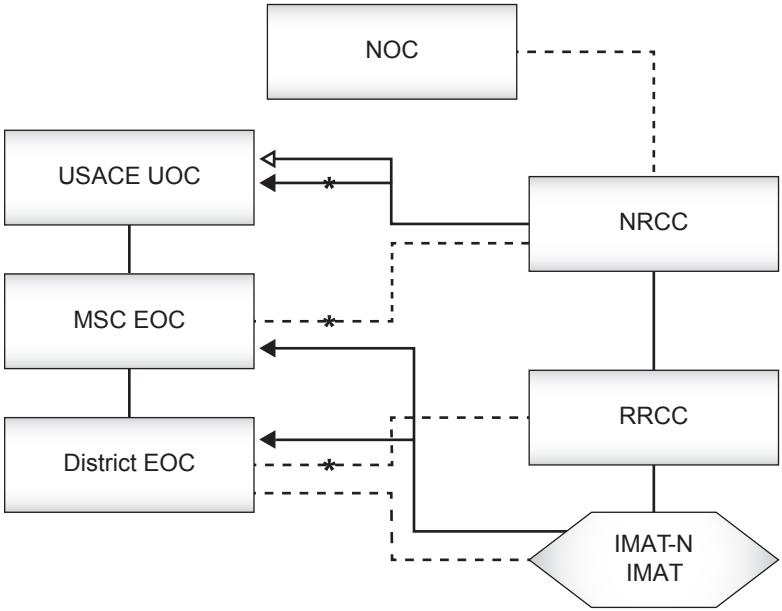
ESF #3 National Response Framework Structure



National Operations Center (NOC)

National Response Coordination Center (NRCC)

Regional Response Coordination Center (RRCC)

Incident Management Assistance Team National (IMAT-N)

Incident Management Assistance Team Regional (IMAT)

* ESF #3 Management Team Only
Command & Control
Coordination
Coordination and Tasking

ESF #3 Concept of Operations Summary

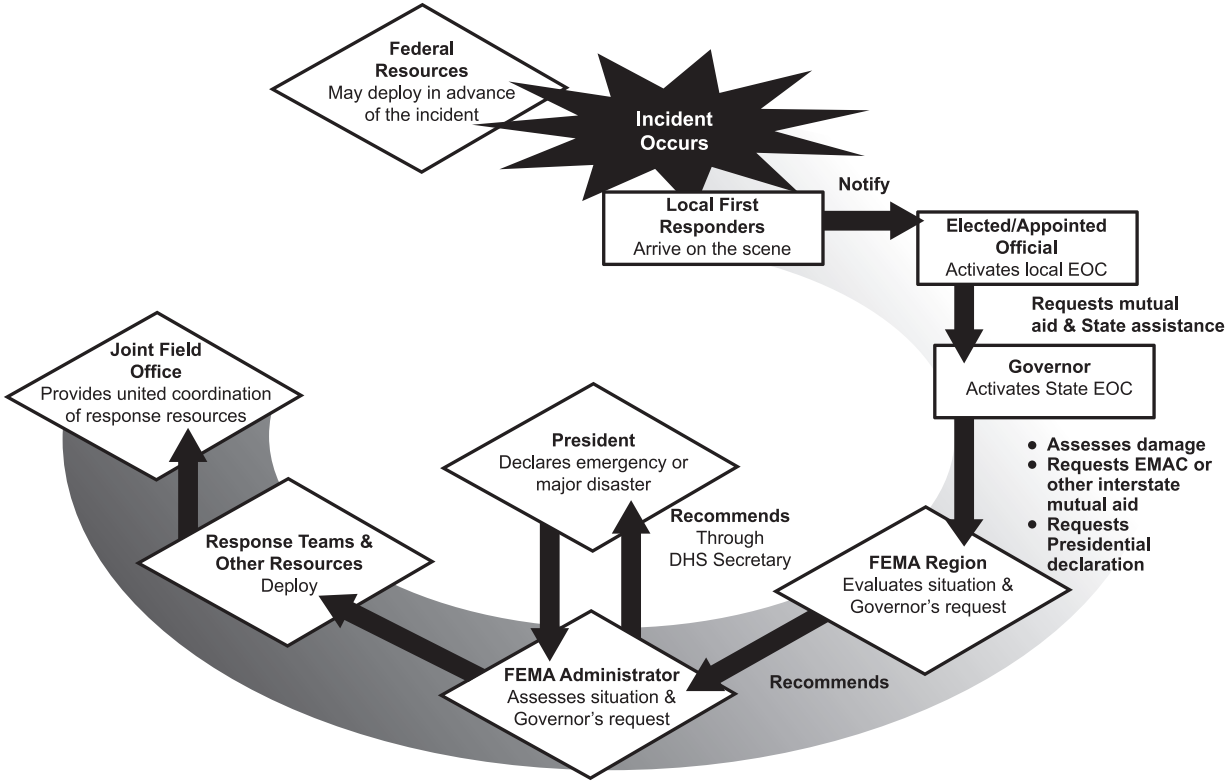
The disaster response and recovery process is complex and dynamic. The Incident Command System (ICS) assists mission execution as a standard operating procedure under the National Response Framework (NRF). Several separate activities are simultaneously initiated and executed. The following summary addresses the functions and activities during response within the Emergency Support Function #3 (ESF #3) structure. The summary incorporates established policies and principles, as well as operational experience from prior USACE emergency operation activities.

This Concept of Operations addresses operational teams, staffing, functions, reporting, and other organizational procedures associated with the response teams, mission assignments, and liaison requirements. In addition, MSC and District Emergency Operations Centers (EOC) are operating.

ESF #3 components may be present in the following response elements:

- National Response Coordination Center (NRCC)
- Regional Response Coordination Center (RRCC)
- Incident Management Assistance Team - National (IMAT-N)
- Incident Management Assistance Team - Regional (IMAT)

Overview of Initial Federal Involvement Under the Stafford Act



Homeland Security Act of 2002: The Homeland Security Act, PL 107-296, 6 U.S.C. §101(14) established the Department of Homeland Security to prevent terrorist attacks within the United States and reduce the vulnerability of the United States to terrorism, natural disasters, and other emergencies.

Homeland Security Presidential Directive-5: Enhance the ability of the United States to manage domestic incidents by establishing a single, comprehensive National Incident Management System (NIMS).

The Stafford Act: The Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.) (88 Stat.143) (The Stafford Act), authorizes the President to provide financial and other assistance to State and Local governments, certain private nonprofit organizations, and individuals to support response, recovery, and mitigation efforts following presidentially declared major disasters and emergencies.

ESF #1: Transportation: Primary Agency: Dept. of Transportation. Provide Federal and Civil transportation support and transportation safety.

ESF #2: Communications: Primary Agencies: DHS/National Protection and Programs/Cybersecurity and Communications/National Communications System. Provide telecommunications support.

ESF #3: Public Works and Engineering: Primary Agency: Department of Defense/U.S. Corps of Engineers. Restore essential public services and facilities.

ESF #4: Firefighting: Primary Agency: Dept of Agriculture, U.S. Forest Service. Detect and suppress fires, provide resource support to rural and urban firefighting operations.

ESF #5: Emergency Management: Primary Agency: DHS/FEMA. Collect, analyze, and disseminate information to facilitate overall Federal response and recovery operations.

ESF #6: Mass Care, Emergency Assistance, Housing, and Human Services. Primary Agency: DHS/FEMA. Manage and coordinate provision of care and assistance.

ESF #7: Logistics Management and Resources Support: Primary Agencies GSA/FEMA. Provide equipment, materials, supplies, and personnel to Federal entities during response operations. Coordinate Federal law enforcement at the State's request.

ESF #8: Public Health and Medical Services: Primary Agency: Dept. of Health and Human Services. Provide assistance with public health and medical care needs.

ESF #9: Urban Search and Rescue: Primary Agency: DHS/FEMA. Locate and extract individuals trapped in collapsed structures and provide initial medical treatments.

ESF #10: Oil and Hazardous Materials Response: Primary Agencies: Environmental Protection Agency, DHS/U.S. Coast Guard. Support Federal response to actual or potential release of oil or other hazardous materials.

ESF #11: Agriculture and Natural Resources: Primary Agencies: Dept. of Agriculture/Dept of Interior. Identify needs, ensure nutritional services and agricultural and natural resource protection and restoration.

ESF #12: Energy: Primary Agency: Dept. of Energy. Restore power systems, fuel supplies.

ESF #13: Public Safety & Security: Primary Agency: Dept. of Justice. Assist with law enforcement, criminal investigation, and response/recovery operations.

ESF #14: Long-Term Community Recovery: Primary Agency: DHS/FEMA, Dept. of Agriculture, Dept. of Housing and Urban Development, Dept. of Treasury, Small Business Administration. Assess economic impact. Provide recovery assistance to State and Local government.

ESF #15: External Affairs: Primary Agency: DHS/FEMA. Integrate structure, resources, and coordination mechanisms for delivering timely, accurate, and consistent information to the public.

ESF #3 Public Works and Engineering

ESF #3 - Public Works and Engineering assists the DHS/FEMA by coordinating the capabilities and resources of the Federal government to facilitate the delivery of services, technical assistance, engineering expertise, construction management, and other support to prevent, prepare for, respond to, and/or recover from domestic incidents. ESF #3 is structured to provide public works and engineering-related support for the changing requirements of domestic incident management, including preparedness, prevention, response, recovery, and mitigation actions.

Functional Scope:

- Conduct pre- and post-incident assessments of public works and infrastructure.
- Execute emergency contract support for life-saving and life-sustaining services.
- Provide technical assistance to include engineering expertise.
- Manage construction.
- Oversee contracting services.
- Oversee real estate services.
- Provide emergency repair of damaged infrastructure and critical facilities.
- Implement and manage the DHS/FEMA Public Assistance Program and other recovery programs.
- Support all other ESFs.

Typical USACE Mission Assignments

- National Activation
- Regional Activation
- National Water
- National Ice
- Commodities
- Emergency Power
- DTOS Support
- Debris
- Temporary Housing
- Temporary Roofing
- Critical Public Facilities
- Infrastructure Assessment
- Local Government Liaisons
- Technical Assistance
- Urban Search and Rescue Support
- Recovery Field Office Operations
- GIS Support

Coordinating Agency Responsibilities

The U.S. Army Corps of Engineers is designated as the ESF #3 Coordinating Agency in the National Response Framework and is responsible for:

- Pre-incident planning and coordination
- Maintaining contact with ESF primary and support agencies
- Conducting periodic ESF meetings and conference calls
- Coordinating efforts with the private sector
- Coordinating ESF activities related to catastrophic incident planning and critical infrastructure preparedness

Primary Agency Responsibilities

Primary Agency – Response: The U.S. Army Corps of Engineers is designated as the primary agency for ESF #3 response under the NRF.

Primary Agency – Recovery: FEMA is designated as the primary agency for ESF #3 recovery under the NRF. FEMA manages interagency infrastructure recovery programs under the Public Assistance program, Title 44 Code of Federal Regulations, Part 206 and the FEMA Public Assistance Guide (FEMA 322), which contains information regarding program eligibility, application processes, and project requirements.

Other ESF Support to ESF #3 Under the NRF

Agency	Functions
Dept. of Agriculture (USDA)	Dept. of Agriculture (USDA) Provide engineering and contracting/procurement personnel and equipment to assist in emergency demolition, removal of debris, water supply, repair of roads and bridges, and temporary repair of essential public facilities. ESF #4 Fire Fighting or the USDA/Forest Service Disaster and Emergency Operations Branch is the contact for this support. Provide technical personnel to evaluate damage to water control facilities. The Natural Resources Conservation Service (NRCS) is the regional contact for this support.
Dept. of Commerce	Provide direct technical support and advice on procurement of external consulting services for assessing the structural and fire safety of damaged buildings and lifelines (public works and utilities). The Interagency Committee on Seismic Safety in Construction, Building and Fire Research Laboratory, National Institute of Standards and Technology, is the point of contact.
Dept. of Energy	Gather, assess, and share information on energy system damage and estimations on the impact of energy system outages within affected areas. Provide information concerning the energy restoration process, such as projected restoration schedules, percent completion of restoration, and geographic information on the restoration, and other information as appropriate. Enable potentially radioactive debris management activities by coordinating and/or providing data, resources, assessments, expertise, monitoring, technical assistance, and other appropriate support.

Other ESF Support to ESF #3 Under the NRF

Dept. of Health and Human Services (HHS)	Supply engineering and environmental health personnel to help assess the status of local potable water, wastewater, and solid-waste facilities. Provide guidance related to health problems associated with hazardous materials. Coordinate and/or provide data, resources, assessments, expertise, monitoring, technical assistance, and other appropriate support for the management of contaminated debris.
Dept. of Homeland Security (DHS)	**Information Analysis and Infrastructure Protection Directorate** Protective Security Division (PSD): Provide infrastructure risk and vulnerability assessments in response to actionable intelligence and other information to support ESF #3 protection and mitigation missions. Infrastructure Coordination Division (ICD): Work with the Infrastructure Liaison on recovery and restoration of this ESF's critical infrastructure sector, including the allocation and prioritization of resources. **U.S. Coast Guard** Coordinate the marking and removal of obstacles declared to be hazards to navigation. Assist in debris and contaminated debris management that impacts navigable waters by coordinating and/or providing resources, assessments, expertise, monitoring, technical assistance, and other appropriate support.

Other ESF Support to ESF #3 Under the NRF

Dept. of the Interior	Provide engineering support in evaluating damage to water control systems, such as dams, levees, and water delivery facilities. Provide personnel to assist in damage assessment, structural inspections, debris clearance monitoring, and restoration of facilities in general. Provide technical assistance in contract management, contracting, procurement, construction inspection, and environmental and archeological assessments. Provide any required tribal nation liaisons, as described in the Tribal Relations Support Annex.
Dept. of Labor (DOL)	**Occupational Safety and Health Administration (DOL/OSHA)** Provide worker safety advice, assistance, and policy support for debris removal, building demolition, and other ESF #3 activities.
Dept. of Transportation	Provide technical expertise and assistance for repair and the restoration of transportation infrastructure (e.g., highways, bridges, tunnels, transit systems, port facilities, and railways). Advise and assist transportation of contaminated materials. Provide engineering personnel and support to assist in damage assessment, structural inspections, debris clearing, and restoration of U.S. transportation infrastructure. Administer special funding for repair or reconstruction of major highway facilities and grant programs for transit systems and railroads that could be used for repair and rehabilitation of damaged infrastructures.

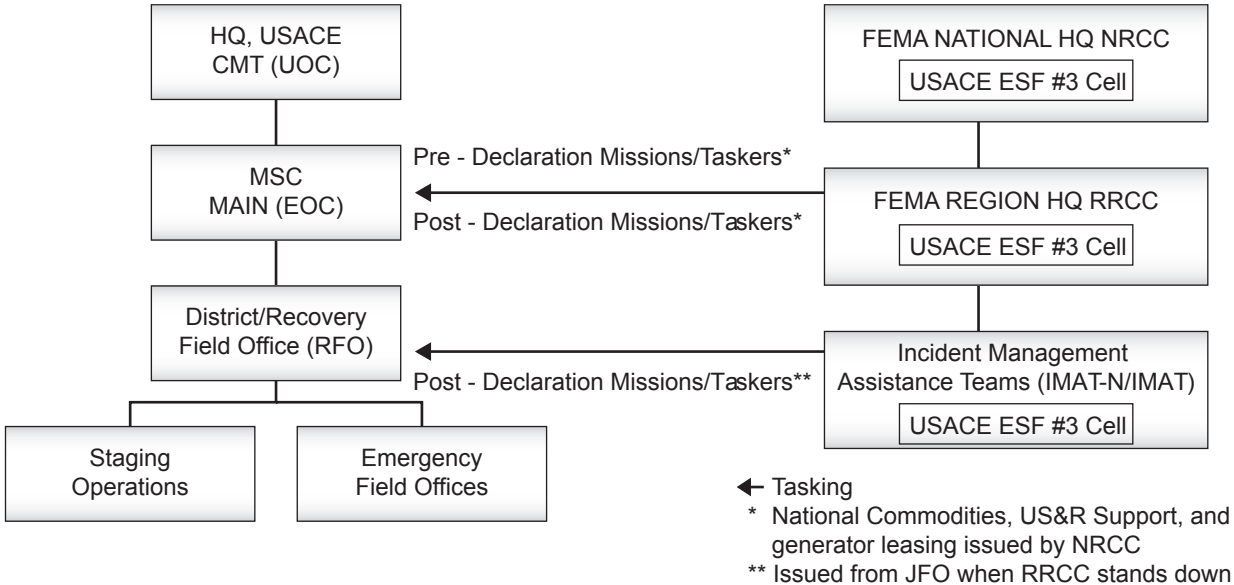
Other ESF Support to ESF #3 Under the NRF

Dept. of Veteran Affairs	Provide engineering personnel and support, including design estimating and construction supervision, for repair, reconstruction, and restoration of eligible facilities.
Environmental Protection Agency	Conduct infrastructure protection activities for drinking water and water treatment agencies in accordance with responsibilities as the designated Sector-Specific Agency as described in Homeland Security Presidential Directive-7. In conjunction with HHS, assist in determining potable local water and materials that may affect drinking water supplies. Assist in identifying water and wastewater needs. Supply sanitary engineers to assess wastewater and solid-waste facilities. Provide bio-surveillance, warning, and detection capabilities. Assist in locating disposal sites for debris clearance. Identify locations and provide safety guidance for areas affected by hazardous materials. Ensure the protection and cleanup of these areas. Assist contaminated debris management activities by coordinating and/or providing data, resources, assessments, expertise, monitoring, technical assistance, and other appropriate support. Assist investigation and intelligence analysis for hazardous materials incidents involving contaminated wastewater or drinking water systems.

Other ESF Support to ESF #3 Under the NRF

General Services Administration	Provide personnel and contractors to assist in damage assessment, structural inspections, debris clearance monitoring, and the restoration of facilities in general.
Nuclear Regulatory Commission	Assist potentially radioactive debris management by coordinating and/or providing data, resources, assessments, expertise, monitoring, technical assistance, and other appropriate support.
Tennessee Valley Authority	Provide personnel to assist in damage assessment, structural inspections, debris clearance monitoring, and restoration of facilities in general.
American Red Cross	Work with DOD/USACE, DHS/EPR/FEMA, other Federal, State, Local, and Tribal government entities, as well as other NGOs to ensure integration of ice and water requirements and distribution processes into mass care operations.

Mission Assignment and Tasking



Foundation for USACE Responsibilities

USACE Task Force Commander (UTFC)

- Issue operations orders
- Designate Supported and Supporting MSC Commands
- Provide USACE resources and attach them to the Supported Division Commander, upon request

ESF #3 Team Leader

- Provide supervision to all the USACE elements directly supporting the FCO and internal FEMA operations
- Serve as the USACE representative in the negotiation, coordination, and acceptance of missions and taskings
- Provide Senior Program Manager oversight of ESF #3 assigned missions
- Forward FCO's taskings to the USACE response unit (usually the Recovery Field Office [RFO]) for mission execution

Supported Division Commander

- Responsible to the USACE Commander for emergency preparedness and response
- Respond quickly
- For major disasters, deploy to the disaster site and provide initial disaster assessment
- Designate the USACE responding organization (usually an RFO) commander
- Provide MSC resources to RFO commander to support mission(s)
- Request additional resources through HQUSACE UOC
- Act as point of contact (POC) for all HQ mission execution and mission status reporting
- Attached unit, the ESF #3 Team Leader (Management Team), and other USACE assets assigned to the Joint Field Office*

* Supported Division Commander may further attach elements to the USACE response unit (usually an RFO) Commander.

Foundation for USACE Responsibilities

USACE Responding Organization Commander
- Support the Recovery Field Office
- Designated by the Supported Division Commander, accountable to the Supported Division Commander
- Attached USACE assets deploy into the region for event response (Does not include personnel DS to FCO*)

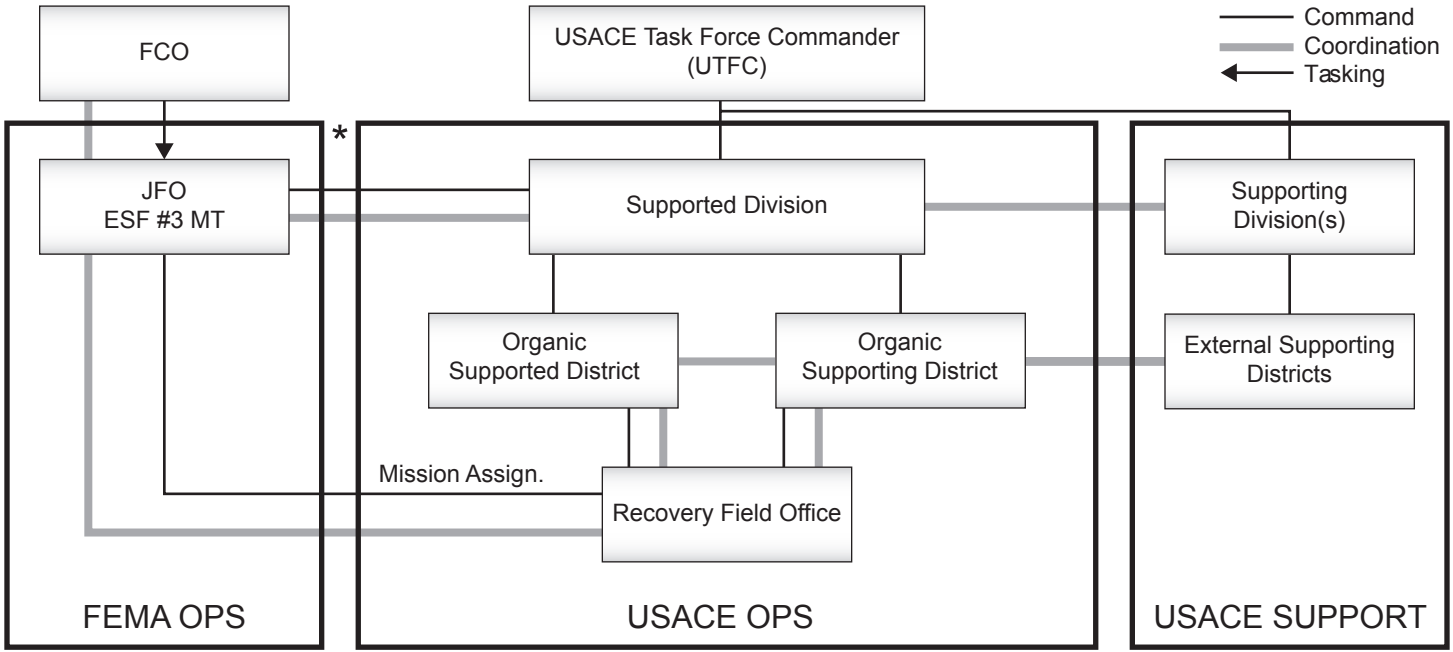
Recovery Field Office (RFO)
- Provide mission execution, planning, contract administration, design, tecnical assistance, and real estate acquisition/disposal
- Function is similar to a District Office

Emergency Field Office
- Function is similar to a Resident Engineer Office
- Established by a district EOC for small to medium recovery missions (e.g., debris, temporary housing and roofing)
- Established by the RFO to support large, long duration recovery missions

USACE Responding Organization (usually a Supported District) Commander
- Provide cadre, administration, and logistics support for the RFO

* Supported Division Commander may further attach elements to the USACE response unit (usually an RFO) Commander.

Command and Control of USACE Disaster Recovery Operations



** Supported Division Commander may further attach ESF #3 MT to Recovery Field Office Commander.*

Sourcing of ESF #3 Team Leaders & Assistant Team Leaders

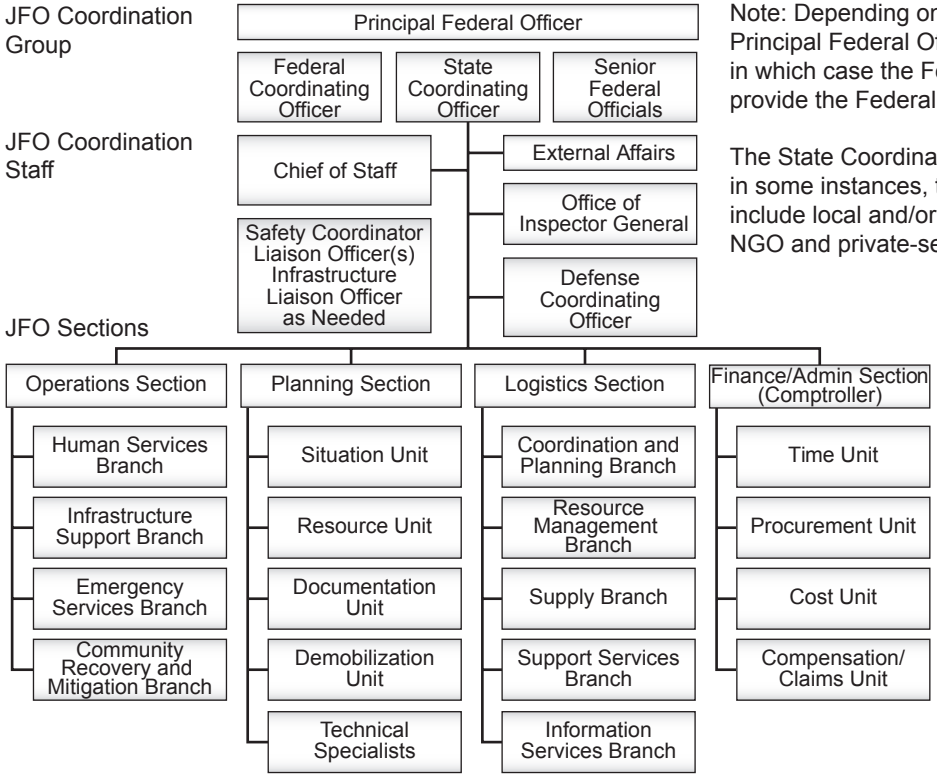
USACE Task Force Commander (UTFC) provides:

- Representative to the NRCC
- Staffing for NRCC
- Staffing for IMAT – National

Division Commander (MSC) (in consultation with the UTFC) provides:

- Staffing for RRCC
- Staffing for IMAT - Regional

Sample JFO for Natural Disasters



Note: Depending on the magnitude of the disaster, a Principal Federal Official may not always be designated, in which case the Federal Coordinating Officer will provide the Federal lead.

The State Coordinating Officer represents the State, and, in some instances, the JFO Coordination Group may include local and/or tribal representatives, as well as NGO and private-sector representatives, as appropriate.

National Response Coordination Center (NRCC)

- The National Response Coordination Center (NRCC) is a multiagency center that provides overall Federal support coordination for major disasters and emergencies, including catastrophic incidents and emergency management program implementation.

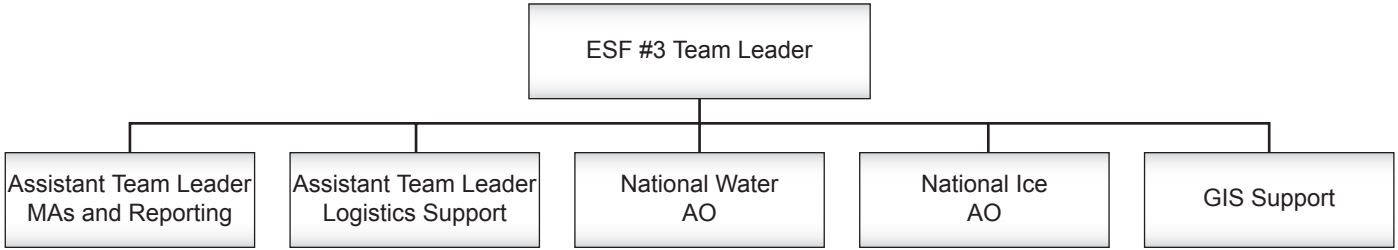
- Staffed by the National Response Coordination Staff (NRCS), the Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) maintains the NRCC as a functional component of the National Operations Center (NOC) in support of incident support operations at the regional-level.

- Upon activation, the NRCS provides national-level emergency management by coordinating and integrating resources, policy guidance, situational awareness, and planning in order to support the affected region(s).

- The NRCS does the following:

  - Maintains situational awareness of specific potential threats, events, or incidents.
  - Collects, validates, analyzes, and distributes incident information.
  - Coordinates the use of other Federal agencies resources through mission assignments and interagency agreements.
  - Develops the National Support Plan, National Advanced Operational Plan, and Functional Plans to source and address identified resource shortfalls.
  - Coordinates with the affected region(s) to determine initial requirements for federal assistance.
  - Coordinates support and situational reporting with the Regional Response Coordination Center(s).
  - Activates and deploys national teams.
  - Deploys initial response resources and other disaster commodities when required.
  - When directed, assume responsibility for Regional incident support if a Regional Office is not operational.

USACE Support to the NRCC



USACE ESF #3 Responsibilities at the NRCC

- Establish and maintain coordination with ESF #3 at the RRCC/JFO and UOC.
- Act as ESF #3 POC for NRCC Director, other ESFs, Logistics, Joint Director of Military Support (JDOMS), and others.
- Assist in resolving issues that impede USACE response efforts.
- Represent USACE in the overall management of ESF #3 activities.
- Manage Single Source Ordering of National Commodities.
- Support activities of the ESF #5 (FEMA), including remote sensing/geographic information system (RS/GIS) modeling efforts and reporting.
- Support Logistics and transportation activities.
- Advise FEMA and other ESFs on USACE authorities and capabilities.
- Provide active interface with other ESFs and the DoD Liaison.
- Provide the USACE input regarding resource allocation.
- Pro-actively participate in the NRCC Director's daily coordination meetings and the action planning process.
- Provide FEMA leadership with status of USACE missions.
- Report daily status to HQUSACE.
- Provide input to White House updates and other FEMA reports.

Regional Response Coordination Center

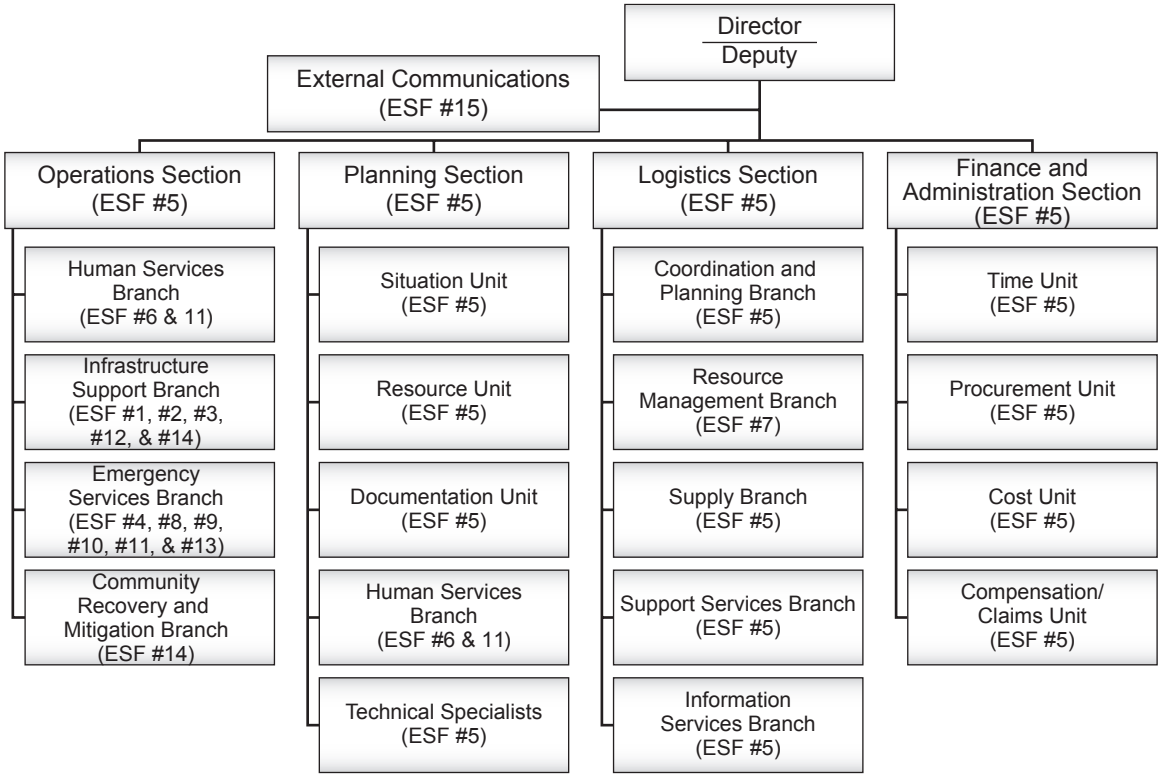
The Regional Response Coordination Center (RRCC) staff Response Support Team (RST) coordinates Federal response efforts until an IMAT or ERT is established in the field and the FCO assumes coordination responsibilities. Generally operating from the FEMA Regional Office, the RRCC establishes communications with the affected state emergency management agency and the NRCC, coordinates deployment of the Incident Management Assistance Team (IMAT), or Emergency Response Team - Advance (ERT-A) to field locations, assesses damage, develops situation reports (under ESF #5 - Emergency Management), and issues initial mission assignments.

The RRCC is activated by the FEMA Regional Director based on the level of response required. It is led by an RRCC Director and consists of FEMA staff, ESF representatives, and a Regional Emergency Preparedness Liaison Officer (REPLO), who help coordinate requests for military support. The RRCC will be deactivated once the JFO becomes operational, or at the discretion of the FEMA Regional Director.

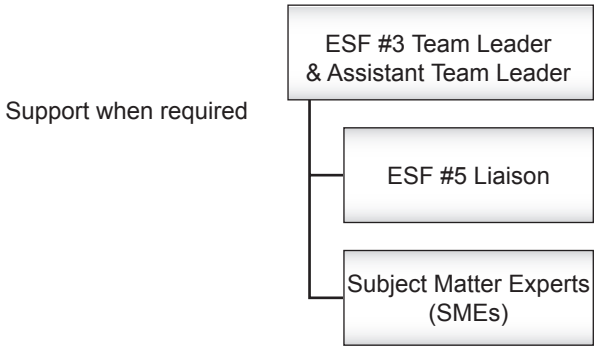
Until the JFO is fully operational, the RRCC will perform the following functions:

- Establish the foundation for response and recovery efforts.
- Coordinate ERT-A activities for deployment to the field and/or State EOC.
- Collect field assessment data provided from IMAT or ERT-A, and collect and distribute RNA data.
- Issue pre-disaster and other initial mission assignments to the respective ESFs.
- Accept formal Mission Assignments (MAs) via its USACE representative.
- Establish communications with the affected state through the IMAT or ERT-A and initiate planning and coordination for response.
- Serve as a temporary coordination office for Federal activity.
- Collect information and provide situation status updates and assessment reports to the NRCC, IMAT or ERT-A, and MSC EOC.
- Coordinate the gathering and dissemination of damage assessment information with ESF #5 - Emergency Management through the FEMA RRCC Situation Report (SITREP).

RRCC Organization



USACE Support to the RRCC



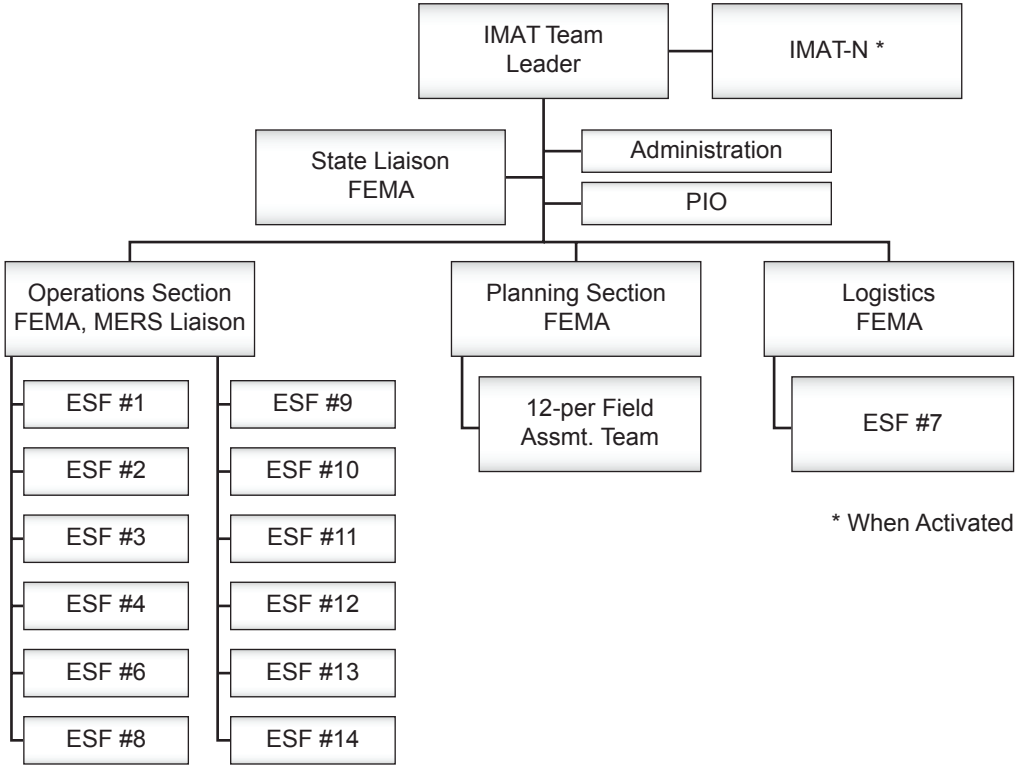
USACE Support to the RRCC

ESF #3 RRCC Staffing: The MSC, in coordination with HQUSACE, will be responsible for providing credentialed ESF #3 representatives to the RRCC for 24-hour operations. MSC Commanders will provide support personnel to round out the ESF #3 cell at the RRCC. Upon deactivation of the RRCC, the credentialed ESF #3 personnel may be required to redeploy to the JFO or elsewhere, as determined by the UOC.

The RRCC ESF #3's responsibilities are to:

- Provide ESF #3 input to the pre-event contingency planning process.
- Represent the USACE in overall management of ESF #3 activities.
- Act as the ESF #3 POC for the RRCC Director, DCO, and other ESF team leaders.
- Coordinate the formulation, acceptance, and funding of initial mission assignments from FEMA and/or other ESFs.
- Provide the RRCC Director status of USACE activities and input for FEMA RRCC SITREP.
- Coordinate and participate in strategic planning on projected ESF #3 missions.
- Support activities of the ESF #5, including RS/GIS modeling efforts and reporting.
- Participate proactively in the RRCC Director's daily coordination meetings and action-planning process.
- Forward MAs to the impacted MSC for execution and information copies to NRCC and UOC.
- Coordinate with ESF #1 (DOT) on the transportation concept of operations for support to USACE mission execution.
- Coordinate with ESF #12 (DOE) on the concept of operations for restoration of the power grids in concert with the USACE emergency power mission.
- Report daily USACE status to the MSC EOC and NRCC.
- Coordinate with NRCC and IMAT deployed to the State EOC, and with MSC and District EOCs as necessary.
- Advise FEMA and other ESFs on USACE authorities and capabilities

IMAT Structure



USACE Support to the IMAT

The IMAT is the initial Federal group responding to an incident in the field. Headed by a team leader from FEMA, it is composed of FEMA program and support staff, as well as representatives from selected ESF primary agencies. The IMATdeploys to the State Emergency Operations Center (SEOC) or other locations to work directly with the State to obtain information on the event's impact and to identify specific State requests for Federal response called back to the RRCC for processing. Other IMAT elements (including MERS personnel and equipment) deploy directly to or near the affected area to set up operations, locate and establish field facilities, and establish field communications. The IMAT advises as to the need to deploy additional Federal resources and identifies or validates the suitability of candidate sites for the location of Incident Support Bases (ISBs), other mobilization center(s), and the JFO. The IMAT provides the RNA assessment data to the RRCC.

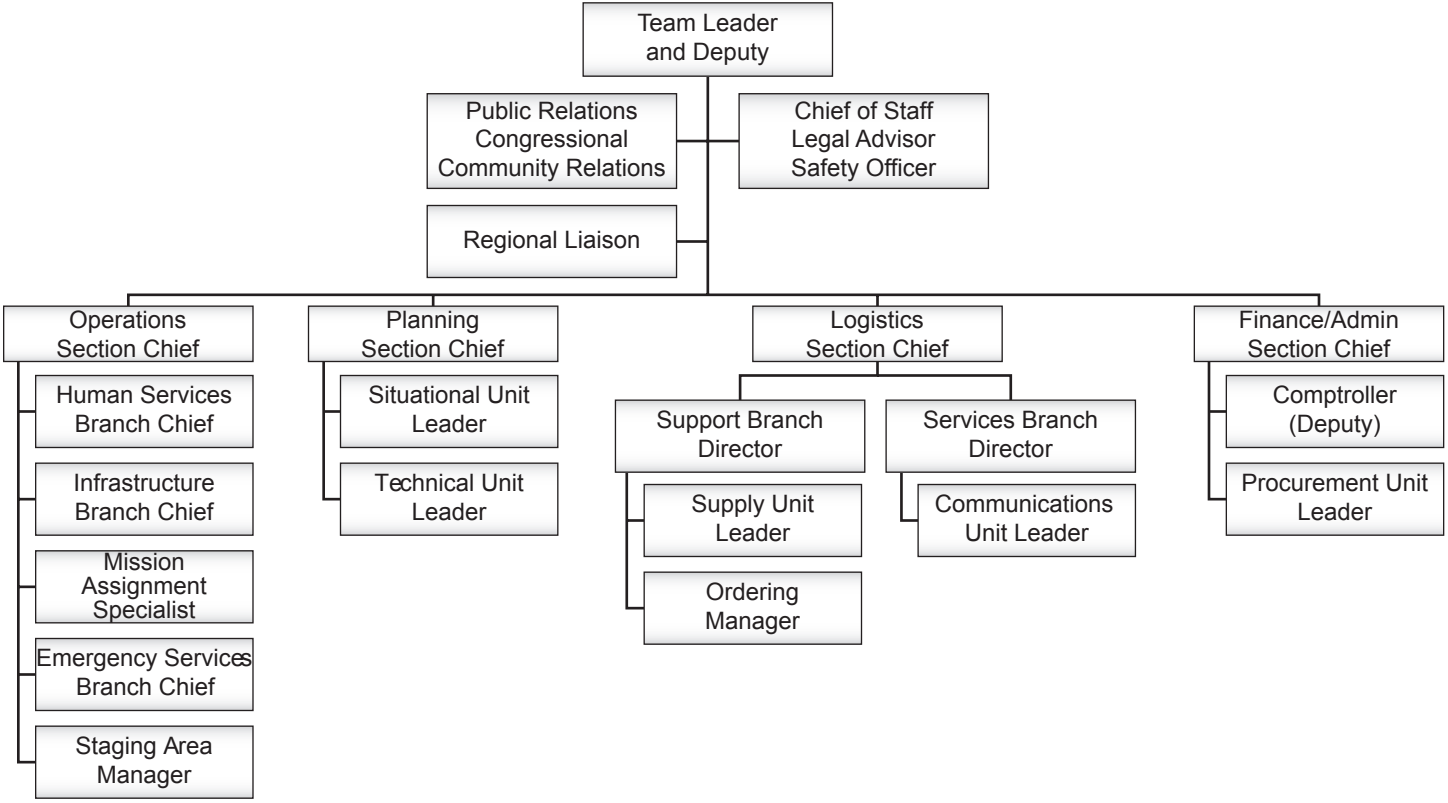
Activation: The IMAT may be activated at the same time as the RRCC or at the discretion of the FEMA Regional Director. USACE planning to support the IMAT should provide for activation as early as three days before an actual event with warning(e.g., hurricanes, floods). An event without warning (e.g., earthquake) will require the USACE to have designated personnepostured for activation at all times for each MSC.

ESF #3 IMAT Staffing: HQUSACE will be responsible for providing representatives for the IMAT. IMAT representatives should include, but not be limited to, an ESF #3 Team Leader, ESF #3 Assistant Team Leader, Action Officers (Commodity and Emergency Power), 249th Action Officer, and an administrative assistant. In addition, when activated, the USACE member of IMAT-N works closely with the Regional IMAT. Prime Power will normally have two personnel on the IMAT. As USACE representatives complete their missions on the IMAT they are either released or are redeployed to theJFO as part of the ESF #3 Management Team.

ESF #3 IMAT Staff Responsibilities:

- Provide information to MSC EOC for both assessment of scope and magnitude of the disaster.
- Inform State officials regarding types of assistance the USACE can provide under ESF #3 and USACE authority.
- Identify JFO space requirements to FEMA for the ESF #3 Management Team.
- Identify, where practical, the inclusion of space for the RFO in the JFO.
- Provide requirements for lodging of the ESF #3 Management Team to FEMA.

IMAT-N Organization Chart



IMAT-N

In a catastrophic disaster or high-visibility incident demanding the full capabilities of FEMA, an IMAT-N may deploy to the affected area. The Director of FEMA determines the need for an IMAT-N deployment, coordinating the plans with the affected region and other Federal agencies. The IMAT-N comprises staff from FEMA Headquarters and regional offices and may include other Federal agencies, depending on the circumstances. Three (3) IMAT-N teams are currently on the FEMA roster (Red, White, and Blue Teams).

USACE Support to the IMAT-N

There are no standing ESFs on the IMAT-N. However, HQUSACE is responsible for maintaining a list of qualified individuals and providing a USACE representative to the IMAT-N as required. The ESF #3 Team Leader on the IMAT-N is responsible for strategic and political activities and works closely with the ESF #3 Management Team on mission execution once the JFO is established.

IMAT (Regional)

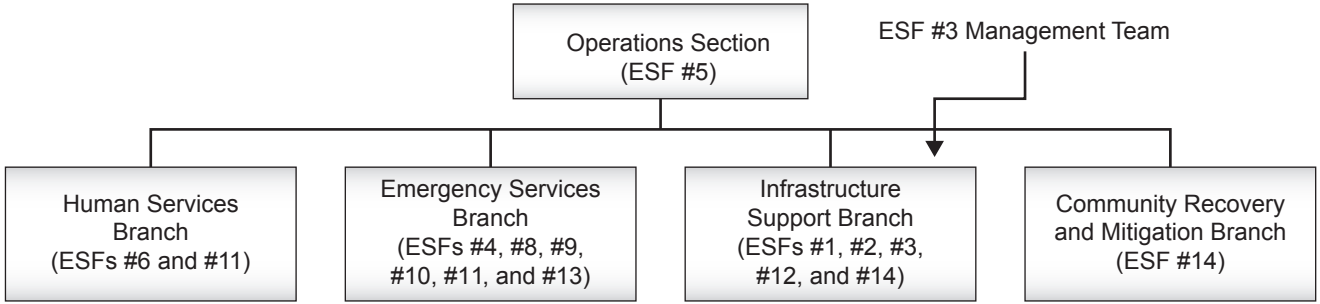
The IMAT is the principal DHS/FEMA led interagency group that supports the FCO in coordinating the overall Federal disaster operation. The IMAT ensures that federal resources are made available to meet state requirements identified by the State Coordinating Officer (SCO). The size and composition of the IMAT can range from soley FEMA staff who are primarily conducting recovery operations to a full interagency team having representation from all ESF primary and support agencies undertaking full response and recovery activities.

The ESF #3 Management Team will be fully operational once the JFO is established. This ESF #3 Management Team is an integral part of the IMAT and provides the linkage between the USACE and FEMA at the JFO. In addition, the team serves as the point of contact for other ESFs regarding the execution of missions within the scope of ESF #3.

For USACE, the ESF #3 Management Team accomplishes mission coordination with FEMA, and other Federal, State, and Local agencies. The Recovery Field Office accomplishes recovery mission execution. This includes design, contracting, logistics, real estate, contract administration, resource management, and other functional supports.

In all cases, the Team Leader for the ESF #3 Management Team is the USACE authorized representative and staff element. Missions are completed through a series of taskings to the RFO/supported district.

IMAT Operations Section



IMAT Operations Section

The Operations Section of the IMAT coordinates the delivery of Federal assistance and manages the activities of various emergency teams. Immediate support staff functions include coordination, issuing mission and tasking assignments, and tracking mission status.

The section is composed of four branches: Human Services, Emergency Services, Infrastructure Support, and Community Recovery and Mitigation. As shown in the preceding figure, the 15 ESFs are organized functionally under these branches to provide a coordinated approach and ensure a seamless delivery of assistance to disaster survivors and the affected state.

The ESF #3 Management Team is typically a part of the Infrastructure Support Branch of the Operations Section.