

Domestic JTF Commander Training Course (JCTC) Handbook



Domestic JTF Commander Handbook

Disclaimer

The contents of this Handbook are based on statutes, Department of Defense (DOD), Army and Air National Guard, and federal agency regulations, manuals, best practices, policies and examples. The Handbook serves as a working reference and training tool for individuals who will be appointed as a Domestic Joint Task Force (JTF) Commander or Deputy JTF Commander and employ Joint Task Forces (JTFs) for homeland defense (HD) and civil support (CS) at the federal and/or state level as appropriate. As such, the information is advisory in nature and not a substitute for consultation with appropriate personnel and staff and continued education and communication. Importantly, this Handbook is not a substitute for complete and up-to-date references. Indeed, as this Handbook goes to publication, many references cited within may be under revision.

Domestic JTF Commander Handbook

TABLE OF CONTENTS

PREFACE..... 1

PART 1: PLANNING AND FORMING A JTF..... 8

1. ESTABLISHING COMMAND AND CONTROL 8

1.1 CHAPTER OVERVIEW..... 8

1.2 JOINT TASK FORCES 9

1.3 JOINT COMMAND RELATIONSHIPS 9

1.3.1 Command Relationships.....10

1.4 COMMAND STRUCTURES 12

1.4.1 Parallel Command12

1.4.1.1 Parallel Command Organization/Structure12

1.4.2 Dual Status Commander.....13

1.4.2.1 Dual Status Commander Authorities.....13

1.4.2.2 Memorandum of Agreement (MOA)15

1.4.2.3 CDR’s Role in the MOA Process.16

1.5 DOMESTIC COMMANDER JTF ROLES..... 17

1.5.1 Role and Responsibilities of Governor.....17

1.5.2 Role and Responsibilities of The Adjutant General (TAG)17

1.5.3 Roles and Responsibilities of US Northern Command (USNORTHCOM)19

1.6 THE ORGANIZATIONAL STRUCTURE OF A DUAL STATUS COMMANDER JTF 20

1.6.1 Developing a Command and Control (C2) Concept.....20

1.6.2 Staff Organization21

1.6.3 Key Staff Functions21

1.6.4 Dual Status Model.....23

1.7 WHAT IS A COMMON OPERATIONAL PICTURE (COP) 25

1.7.1 The COP Management Cycle26

1.7.2 COP Domains26

1.7.2.1 Routine26

1.7.2.2 Situational26

2. PLANNING IN A CIVIL-MILITARY ENVIRONMENT 27

2.1 CHAPTER OVERVIEW..... 27

2.2 PLANNING..... 27

2.2.1 NSSE and Special Event Planning Authorities27

2.2.1.1 Planning Roles and Responsibilities.....28

2.2.1.2 Federal Level Planning.....29

2.2.1.3 State Level Planning30

2.2.1.4 Local Planning30

2.2.1.5 Information Sharing.....31

2.2.2 Crisis Action Planning (CAP).....31

2.3 DOMESTIC JTF COMMANDER PLANNING 32

2.3.1 Commander’s Role in Planning36

2.3.1.1 Planning Guidance39

2.3.1.2 Commander’s Critical Information Requirements (CCIRs).....39

2.3.1.3 Commander’s Direction.....40

2.3.1.4 Commander, Staff and Subordinate Interaction.....40

2.3.1.5 JOPP Planning42

2.3.1.6 Time-Saving Techniques60

2.3.1.6.1 General Time-Saving Techniques60

Domestic JTF Commander Handbook

2.3.1.6.2Specific Time-Saving Techniques61

3. COORDINATING WITH THE INTERAGENCY, INTERGOVERNMENTAL, AND NATIONAL GUARD COMMUNITIES 63

3.1 CHAPTER OVERVIEW..... 64

3.2 HOMELAND SECURITY (HS) AUTHORITIES..... 66

3.2.1 Homeland Security Act of 2002.....67

3.2.2 Homeland Security Presidential Directive – 5 (HSPD-5)67

3.2.3 The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act)68

3.2.4 The Economy Act68

3.3 DOMESTIC INCIDENT MANAGEMENT ROLES AND RESPONSIBILITIES 68

3.3.1 Secretary of Homeland Security68

3.3.2 Principal Federal Official (PFO).....68

3.3.3 Secretary of Defense (SecDef).....69

3.3.4 State Role - Governor.....70

3.4 DOMESTIC INCIDENT MANAGEMENT PLANS..... 70

3.4.1 National Incident Management System (NIMS).....70

3.4.2 The National Response Framework (NRF)73

3.4.3 Catastrophic Incident Supplement to the National Response Framework (NRF-CIS)74

3.4.4 Field Level Coordination Structures.77

3.5 MILITARY FORCES SUPPORTING HOMELAND SECURITY (HS)..... 79

3.5.1 Defense Support of Civil Authorities (DSCA)79

3.5.2 National Guard Support80

3.5.2.1 Weapons of Mass Destruction Civil Support Teams (WMD-CSTs).....82

3.5.2.2 CBRNE Enhanced Response Force Package (CERFP)82

3.5.2.3 Fatality Search & Recovery Team (FSRT)82

3.5.2.4 Services Command and Control JFHQ-Team83

3.5.2.5 Services Lead Beddown Team (ANG UTC: LWRRA)83

3.5.3 Department of Defense (DOD) Request for Federal Support83

3.5.4 Other Actors84

3.6 LEGAL IMPLICATIONS OF TITLE 10/32 COMMAND AUTHORITY - SECTION OVERVIEW..... 87

3.7 PERSONNEL GENERALLY SERVE IN ONE OF THREE LEGAL STATUSES 87

3.7.1 State Active Duty (SAD)87

3.7.2 Title 3288

3.7.3 Title 1088

3.8 ADDITIONAL RELEVANT AUTHORITIES..... 90

3.8.1 DODD 3025.18 Defense Support of Civil Authorities (DSCA)91

4. JOINT CONTINENTAL UNITED STATES COMMUNICATIONS SUPPORT ENVIRONMENT 93

4.1 CHAPTER OVERVIEW..... 93

4.2 OVERVIEW OF THE JCCSE..... 94

4.2.1 JCCSE Vision94

4.2.2 JCCSE Mission94

4.2.3 JCCSE Support to the CJTF95

4.3 KEY COMPONENTS OF JCCSE 95

4.3.1 The Joint Information Exchange Environment (JIEE)95

4.3.2 The NGB Joint C4 Coordination Center (JCCC)96

4.3.3 The National Guard Communications Element (NGCE)96

4.3.4 The Joint Incident Site Communications Capability (JISCC)97

4.4 OTHER C4 CAPABILITIES..... 97

4.4.1 Interagency and Nongovernmental Organization Communications98

4.5 KEY ORGANIZATIONAL RELATIONSHIPS 99

Domestic JTF Commander Handbook

PART 2: DEPLOYING AND EMPLOYING A JTF..... 100

5. FUNDING UNDER TITLE 10/32..... 100

5.1 CHAPTER OVERVIEW..... 101

5.2 GENERAL FISCAL CONTROLS ON THE USE OF DOD APPROPRIATIONS 101

5.2.1 The Economy Act102

5.2.2 Immediate Response.....103

5.2.3 Law Enforcement Activities105

5.2.4 Other Permissible Support to Civil Agencies.....106

5.3 SUPPORT IN NON-STAFFORD ACT SITUATIONS 107

5.4 PROCEDURES AND MECHANISMS FOR FINANCIAL MANAGEMENT OF DSCA 107

5.4.1 Mission Assignment108

5.4.2 Reimbursable Agreements (RAs).....108

5.4.3 Emergency Management Assistance Compact (EMAC)108

5.5 BEST PRACTICES AND LESSONS OBSERVED 109

6. MANAGING PUBLIC COMMUNICATIONS..... 111

6.1 CHAPTER OVERVIEW..... 111

6.2 CRITICAL MESSAGES OF PUBLIC COMMUNICATIONS 112

6.3 AUTHORITIES AND REFERENCES FOR MANAGING MEDIA RELATIONS..... 113

6.4 PUBLIC COMMUNICATIONS ROLES AND RESPONSIBILITIES..... 113

6.4.1 Governor114

6.4.2 Combatant Commander (CCDR).....114

6.4.3 Assistant Secretary for Public Affairs, Department of Homeland Security (AS/PA, DHS) 114

6.4.4 Assistant Secretary of Defense for Public Affairs (ASD(PA))115

6.4.5 External Affairs Officer (within the JIC)115

6.5 PUBLIC COMMUNICATIONS UNDER THE NATIONAL RESPONSE FRAMEWORK (NRF) 115

6.5.1 Operations Security117

6.6 ACCOMMODATING DISTINGUISHED VISITORS..... 117

6.7 CREDENTIALING VISITORS..... 117

6.8 PUBLIC COMMUNICATION BEST PRACTICES 117

7. RULES FOR THE USE OF FORCE AND INTELLIGENCE CONSIDERATIONS 119

7.1 CHAPTER OVERVIEW..... 119

7.2 USE OF FORCE CONSIDERATIONS 120

7.2.1 RUF for Federal Forces in Domestic Operations122

7.2.2 RUF for State Forces in Domestic Operations122

7.3 INTELLIGENCE COLLECTION AND RETENTION IN A DOMESTIC COMMANDER JTF 125

7.3.1 Goals126

7.3.2 Title 10 Forces126

7.3.3 Title 32 Forces126

7.3.4 State Active Duty (SAD)127

7.3.5 The FBI.....127

7.3.6 Relationships to Other Intelligence Organizations127

7.3.7 Intelligence Oversight (IO) Responsibility128

7.3.8 Incident Awareness Assessment (IAA)128

8. JOINT RECEPTION, STAGING, ONWARD MOVEMENT AND INTEGRATION . 132

8.1 CHAPTER OVERVIEW..... 132

8.2 POLICIES AND DIRECTIVES..... 132

8.3 JRSOI OVERVIEW 132

8.3.1 JRSOI Principles133

Domestic JTF Commander Handbook

8.3.2 Critical Elements of JRSOI134

8.4 BEST PRACTICES 135

PART 3: TRANSITION AND REDEPLOYMENT 143

9. TRANSITION PLANNING 143

9.1 CHAPTER OVERVIEW 143

9.2 END STATE VISUALIZATION 143

9.2.1 End State Visualization and the JTF Life Cycle144

9.3 TRANSITION PLANS..... 145

9.4 TERMINATION OF THE JTF OPERATION..... 146

9.5 REDEPLOYMENT 146

10. LESSONS LEARNED 149

10.1 POLICIES AND DIRECTIVES..... 149

10.1.1 CJCSI 3150.25B Processes.....149

10.1.1.1 Discovery Phase151

10.1.1.2 Knowledge Development Phase.....152

10.1.1.3 Implementation Phase.....153

PART 4: JTF STAFF CONSIDERATIONS..... 155

11. COMMAND AND CONTROL 155

11.1 JOINT COMMAND RELATIONSHIPS 155

11.1.1 Methods of Assignment of Forces155

11.1.2 Command Relationships.....156

11.2 DOMESTIC COMMANDER JTF STAFF ORGANIZATION 158

11.2.1 Key Staff Functions158

11.2.2 Impact of the Interagency (IA) / Intergovernmental (IG) / NonGovernmental (NGO) on staff structure.
161

11.2.3 Common Operational Picture (COP)161

11.2.3.1 Role of the Information or COP Manager.....161

11.2.3.2 The COP Management Cycle162

11.2.3.2.1 Design162

11.2.3.2.2 Assemble.....162

11.2.3.2.3 Portray162

11.2.3.2.4 Share.....162

11.2.3.2.5 Review / Validate163

11.2.3.3 COP Technologies.....163

12. PLANNING 166

12.1 THE JOINT OPERATION PLANNING PROCESS (JOPP) 166

12.2 JOPP PROCESS..... 168

13. INTERAGENCY, INTERGOVERNMENTAL, AND NATIONAL GUARD COMMUNITIES 209

13.1 DOMESTIC INCIDENT MANAGEMENT ROLES / RESPONSIBILITIES 209

14. NGB JOINT C4 COORDINATION CENTER (JCCC)..... 211

14.1 NGB JCCC ORGANIZATION 211

14.2 THE NATIONAL GUARD COMMUNICATIONS ELEMENT (NGCE) 212

14.3 THE SPECTRUM MANAGEMENT CHALLENGE 213

15. PUBLIC COMMUNICATIONS 216

Domestic JTF Commander Handbook

| | | |
|----------|--|------------|
| 15.1 | DEVELOPING AN INTEGRATED PUBLIC COMMUNICATIONS PLAN..... | 216 |
| 15.1.1 | Public Affairs Guidance (PAG) | 216 |
| 15.1.2 | Internal Coordination..... | 217 |
| 15.1.3 | Working with the Media | 217 |
| 15.2 | ACCOMMODATING DISTINGUISHED VISITORS..... | 219 |
| 16. | JOINT RECEPTION, STAGING, ONWARD MOVEMENT AND INTEGRATION . | 220 |
| 16.1 | JRSOI PROCESSES AND TIMELINES..... | 220 |
| 16.1.1 | JRSOI Stages: Planning..... | 220 |
| 16.1.2 | JRSOI Stages: Reception | 222 |
| 16.1.3 | JRSOI Stages: Staging | 223 |
| 16.1.4 | JRSOI Stages: Onward Movement..... | 224 |
| 16.1.5 | JRSOI Stages: Integration..... | 225 |
| 17. | J7 CONSIDERATIONS..... | 227 |
| 17.1 | OVERVIEW | 227 |
| 17.1.1 | NGB – Lessons Learned Branch..... | 227 |
| 17.1.2 | Additional Lessons Learned Entities..... | 228 |
| 17.1.3 | Best Practices Collaboration | 229 |
| 18. | SPECIAL STAFF / PERSONAL STAFF..... | 230 |
| 18.1 | CHAPLAIN OPERATIONS..... | 230 |
| 18.1.1 | Planning/Forming Requirements | 230 |
| 18.1.1.1 | Mission | 230 |
| 18.1.2 | Deploying / Employment | 232 |
| 18.1.3 | Redployment | 233 |
| 18.1.4 | Conclusion | 233 |
| | PART 5: APPENDICES..... | 235 |
| 19. | APPENDICES | 235 |
| 19.1 | ACRONYMS AND ABBREVIATIONS..... | 235 |
| 19.2 | DUAL STATUS COMMANDER JTF CONSTRUCT | 243 |
| 19.2.1 | Dual Status Commander Concept | 243 |
| 19.2.2 | Dual Status Commander Examples..... | 243 |
| 19.2.3 | JTF Subordinate Organizations | 247 |
| 19.2.4 | JTF Staff Organization | 248 |
| 19.3 | MOA EXAMPLE: UNDERSTANDING BETWEEN PRESIDENT AND STATE..... | 250 |
| 19.3.1 | POTCUS Delegation to SecDef IAW 32 USC § 325 | 250 |
| 19.3.2 | Authorization and Consent to Dual Status Commander IAW 32 USC § 325 | 252 |
| 19.3.3 | 2009 G20 Summit – Pittsburgh, PA (32 USC § 325 Dual Status)..... | 253 |
| 19.3.4 | 2010 National Scout Jamboree (32 USC § 315 Dual Status) | 258 |
| 19.3.5 | 2004 G8 Summit (32 USC § 325 Dual Status)..... | 262 |
| 19.4 | MOA EXAMPLE: UNDERSTANDING BETWEEN STATE | 266 |
| 19.4.1 | Virginia and Alabama (2010 National Scout Jamboree) | 266 |
| 19.4.2 | New York, New Hampshire and Vermont (OPERATION Winter Freeze) | 270 |
| 19.5 | OPLAN EXAMPLE – OREGON NATIONAL GUARD MOBILIZATION CHECKLIST | 272 |
| 19.6 | ADDITIONAL STAFF STRUCTURES – OREGON NATIONAL GUARD | 273 |
| 19.7 | CASE STUDY ON COORDINATION AMONG ACTORS INVOLVED IN THE 2004 G8 ECONOMIC SUMMIT | 276 |
| 19.8 | CASE STUDY: 2004 REPUBLICAN NATIONAL CONVENTION - CAPABILITIES IDENTIFICATION AND GENERATION | 282 |
| 19.9 | MISSION ASSIGNMENT FORM FOR STAFFORD ACT DECLARATIONS | 286 |
| 19.10 | MISSION ASSIGNMENT FORM (STAFFORD ACT DECLARATIONS): SUBTASKING REQUEST FORM..... | 288 |

Domestic JTF Commander Handbook

19.11 NATIONAL RESPONSE FRAMEWORK – CATASTROPHIC INCIDENT SUPPLEMENT – FEDERAL EXECUTION SCHEDULE 289

19.12 OREGON NATIONAL GUARD MILITARY SUPPORT TO CIVIL AUTHORITY RULES FOR THE USE OF FORCE CARD 304

19.13 OREGON NATIONAL GUARD SPOT INTELLIGENCE REPORT (SPIREP) 305

19.14 OREGON NATIONAL GUARD SUPPLEMENTAL PRIORITY INTELLIGENCE REQUIREMENTS QUESTIONS 306

19.15 MOA: MUTUAL AID FOR NON-STAFFORD ACT INCIDENTS 307

19.16 DEMONSTRATED CAPABILITIES 311

 19.16.1 Demonstrated Capabilities – Joint Force Headquarters-State311

 19.16.2 Demonstrated Capabilities – JTF State312

 19.16.3 Demonstrated Capabilities – NG Response Force (NGRF)313

 19.16.4 Demonstrated Capabilities – NGB Counterdrug (CD) Program.....313

 19.16.5 Demonstrated Capabilities – Critical Infrastructure Protection-Mission Assurance Assessments (CIP-MAA) 313

 19.16.6 Demonstrated Capabilities – CBRNE Enhanced Response Force Package (CERFP)314

 19.16.7 Demonstrated Capabilities – Weapons of Mass Destruction-Civil Support Team (WMD-CST) 315

19.17 LESSONS LEARNED EXECUTIVE SUMMARIES..... 316

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PREFACE

Preparing Guardsmen to become effective Joint Task Force Commanders (CJTFs) is a critical first step in securing the United States from attack through an active layered defense and responding to a wide range of challenging incidents. Initially, the National Guard Bureau (NGB) designed this course to provide potential CJTFs the knowledge and ability to plan and employ National Guard (NG) Joint Task Forces (JTFs) for homeland defense (HD) and defense support of civil authorities (DSCA). The course has become a partnership between NGB and USNORTHCOM.

Specifically, the NG JTF Commander Course is designed to:

- Develop a cadre of trained and ready leaders, able to successfully execute JTF Command Authority
- Prepare potential CJTFs for large scale, no-notice homeland security (HS) incidents (*e.g.*, biological attack), as well as pre-planned events
- Prepare future joint leaders who are able to operate effectively in interagency, intergovernmental, and nongovernmental environments
- Develop future joint leaders who can prepare staffs to accomplish joint and interagency tasks that meet the needs of the Governor and/or Combatant Commander (CCDR)

The Department of Defense (DOD) “Strategy for Homeland Defense and Civil Support” begins with the statement that **protecting the United States homeland from attack is the highest priority for the Department of Defense**. The events of recent years have changed the world dramatically. The United States is a nation at war, a war whose length and scope are unprecedented. The aftermath of Hurricane Katrina along the Gulf Coast and the Southwest Border mission clearly demonstrate the immense challenges and demands associated with DSCA. With all these challenging and diverse missions, “unified action” is the goal. Our ability to operate in a joint, interagency, nongovernmental, and intergovernmental environment will be decisive to our future success as a military and a country. A key factor in meeting these challenges and fulfilling the new strategy is the capability of the NG.

UNIFIED ACTION. According to Joint Publication 1, *Doctrine for the Armed Forces of the United States*, the term “**unified action**” in military usage is a broad term referring to the synchronization, coordination, and/or integration of the activities of governmental and nongovernmental entities with military operations to achieve unity of effort. Within this general category of operations, subordinate commanders (CDRs) of assigned or attached forces conduct either single-Service or joint operations to support the overall operation. **Unified action** synchronizes, coordinates, and/or integrates joint, single-Service, and multinational operations with the operations of other United States Government (USG) agencies, nongovernmental organizations (NGOs), and intergovernmental organizations

Domestic JTF Commander Handbook

(IGOs) (e.g., United Nations), and the private sector to achieve **unity of effort**. Unified action also occurs at the state and local level and can involve the National Guard with state and local governments and non-government entities.



The interagency process often is described as “**more art than science**,” while military operations tend to depend more on structure and doctrine. However, some of the techniques, procedures, and systems of military command and control (C2) can facilitate unity of effort if they are adjusted to the dynamic world of interagency coordination and different organizational cultures. **Unity of effort can only be achieved through close, continuous interagency and interdepartmental coordination and cooperation**, which are necessary to overcome discord, inadequate structure and procedures, incompatible communications, cultural differences, and bureaucratic and personnel limitations.

JOINT OPERATIONS. Joint operations doctrine is built on a sound base of warfighting theory and practical experience. Joint doctrine recognizes the fundamental and beneficial effects of unified action, and the synchronization and integration of military operations in time, space, and purpose.

Joint operations doctrine is dynamic. Although the historic nine principles of war have been consistent in joint doctrine since its inception, extensive experience in missions across the range of military operations has identified three additional principles that also

Domestic JTF Commander Handbook

may apply to joint operations. Together, they comprise the 12 principles of joint operations: OBJECTIVE, OFFENSIVE, MASS, ECONOMY OF FORCE, MANEUVER, UNITY OF COMMAND, SECURITY, SURPRISE, SIMPLICITY, RESTRAINT, PERSEVERANCE, and LEGITIMACY.

JOINT TASK FORCES. A joint task force (JTF) is a joint force that is constituted and so designated by a JTF establishing authority (*i.e.*, the Governor of a State, the Secretary of Defense (SecDef), a Combatant Commander (CCDR), a subordinate unified CDR, or an existing CJTF, to conduct military operations or support to a specific situation. It usually is part of a larger state or national effort to prepare for or react to that situation.

CJTFs have full authority to assign missions, redirect efforts, and direct coordination among subordinate CDRs. CJTFs should allow Service tactical and operational groupings to function generally as they were designed. The intent is to meet the needs of CJTFs, while maintaining the tactical and operational integrity of Service organizations. The manner in which CJTFs organize their forces directly affects joint force operational responsiveness and versatility.

CJTFs may elect to centralize selected functions within the joint force, but should strive to avoid reducing the versatility, responsiveness, and initiative of subordinate forces. Organization of joint forces also needs to take into account interoperability with interagency and intergovernmental partners. Complex or unclear command relationships and organizations can be counterproductive to developing synergy.

JTFs may be established on a geographical area or functional basis when the mission has a specific limited objective and does not require overall centralized control of logistics. However, there may be situations where a CJTF may have a logistics-focused mission. In these situations, the JTF will require directive authority for common support capabilities delegated by the Governor or CCDR over specific logistic forces, facilities, and supplies. Even absent a combined, *i.e.* multinational force, a JTF usually will operate in an interconnected joint, interagency, intergovernmental, and nongovernmental environment in which the CJTF and staff must work with and through many agencies and organizations.

JTFs may take many forms and sizes as they are employed across the range of military operations. The specific organization, staffing, and command relationships will vary based on the mission assigned, the environment within which operations must be conducted, the makeup of existing and potential adversaries or nature of the crisis (*e.g.*, flood, earthquake), and the time available to achieve the end state.

The mission assigned should require execution of responsibilities involving a joint force on a significant scale and close integration of effort. Normally, JTFs are established to achieve operational objectives. JTF headquarters (HQ) basing depends on the JTF

Domestic JTF Commander Handbook

mission, operational environment, and available capabilities and support. JTFs are usually assigned a joint operations area (JOA).

Execution of responsibilities may involve air, land, maritime, space, information, and special operations in any combination executed unilaterally or in cooperation with interagency, nongovernmental and intergovernmental organizations, and other agencies.

A JTF is dissolved by the proper authority when the purpose for which it was created has been achieved or when it is no longer required.

Certain JTFs, due to the nature of the operations they are performing, the desire for continuity and efficiency, and the relationships they have established with local, state, and federal agencies and organizations, could evolve to semi permanent JTFs. Once a decision has been reached to establish a semi permanent JTF, a top priority for the CJTF and staff will be to reevaluate the organization and staffing of the JTF HQ and conduct an in-depth mission analysis. Once this analysis is complete, the CJTF can articulate a restated mission statement, develop an appropriate concept of operations (CONOPS), and request additional resources.

C2, or better yet, Coordination and Collaboration, enhance the CDR's ability to make sound and timely decisions and successfully execute them. Unity of effort over complex operations is made possible through decentralized execution of centralized, overarching plans. Unity of effort is strengthened through adherence to the following C2 tenets:

- Clearly Defined Authorities, Roles, and Relationships
 - Information Management
 - Implicit Communication
 - Commander's Intent
 - Mission-type Orders
 - Timely Decision-making
 - Robust Integration, Synchronization, and Coordination Mechanisms
 - Battle Rhythm Discipline
 - Responsive, Interoperable Support Systems
 - Situation Awareness
 - Mutual Trust
 - Joint Operation and Planning Execution System (JOPES) as the Decision Model
- (More detailed descriptions of the tenets can be found in JP 1, Doctrine for the Armed Forces of the United States)*

Coordination and Collaboration guidance, both internal and external to the JTF, should be established prior to JTF activation. The JTF establishing authority should provide the initial C2 guidance that includes command relationships. The CJTF should aggressively establish JTF internal C2 guidance and, in a like manner, seek clarification when C2 guidance external to the JTF is not thoroughly understood.

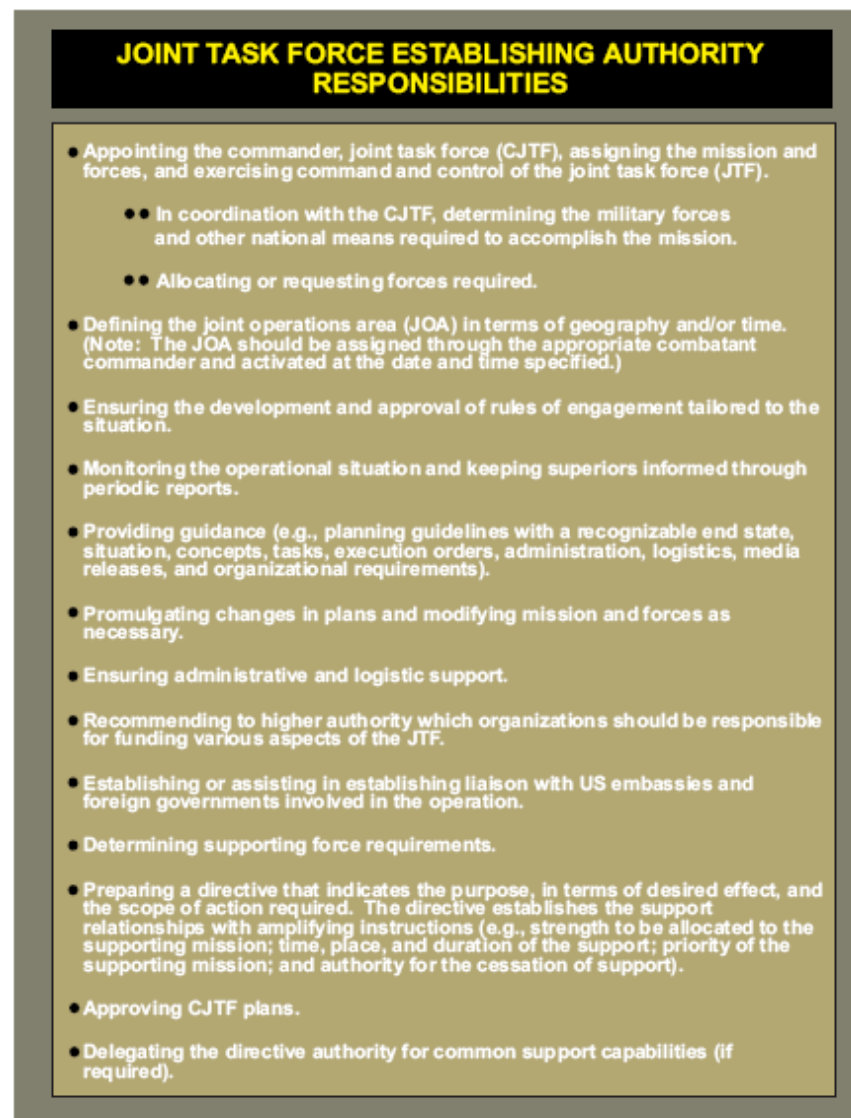
Domestic JTF Commander Handbook

The status of a JTF may change over the course of a mission. First, a JTF-State may operate in a State Active Duty (SAD) status under the direction of the Governor; or, it may operate in a Title 32 status under the direction of the Governor. Moreover, the JTF-State may have a Dual Status JTF Commander. In this Dual Status case, the Dual Status JTF Commander would report both to the Governor and to United States Northern Command (USNORTHCOM), United States Pacific Command (USPACOM) or United States Southern Command (USSOUTHCOM), as applicable. For the purpose of brevity, future references to USNORTHCOM should also have implied association with USPACOM and USSOUTHCOM if applicable. Finally, the JTF-State could be ordered to duty under Title 10. In Title 10 status, the JTF-State could be retained reporting to USNORTHCOM, or placed under other active component C2. The broad scope of actors with an array of roles and responsibilities makes the task of a JTF-State complex. Therefore, NG CJTFs must have a sound understanding of the complex environment and the mandates in which they will plan and operate.

From the beginning, a CJTF must have the ability to apply legal authorities and understand all C2 structures.

Therefore, the CJTF and the staff need a comprehensive understanding of the regulations and procedures under both Title 10 and 32 statuses. These mandates establish the actions and constraints for planning and employment of forces, rules for the use of force (RUF), and intelligence collection and dissemination. In addition, the various JTF structures will operate in close coordination with local, state, tribal, and federal agencies that will have different statuses and RUF.

Figure I-1: Expectations of a JTF Commander



Domestic JTF Commander Handbook

- Establish Command, Control, and Communications (C3)

A CJTF must understand the command authorities and responsibilities to accomplish the mission. These command responsibilities can vary as the mission transitions from a local to a state or federal incident. Equally as important as the command responsibilities is the coordination structure established with other governmental agencies, and non-governmental organizations, at all levels. These relationships are important because many of the capabilities for mission accomplishment come from organizations other than the State-JTF.

- Acquire, integrate, and employ assets and capabilities

Few, if any, JTFs will begin with all of the necessary resources and capabilities, and in most cases there will not be a single source that can provide them all. An important aspect of the process is understanding how to acquire needed capabilities and the means to fund operations. CDRs must understand the state and federal funding sources, the process for acquiring resources, and the accounting processes necessary to attain and distribute funds.

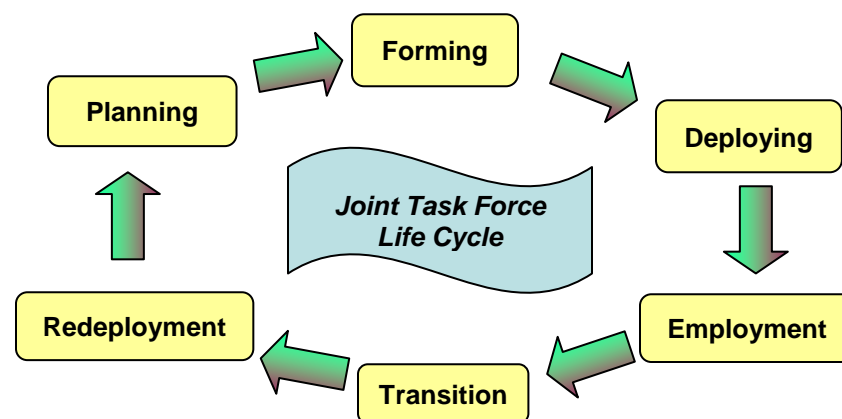
- Conduct public communications

The environment and mission of a CJTF will attract intense public attention, and many senior government officials. The CDR must be prepared to provide timely communications to reassure and inform the public and senior officials at all levels of government. The public communications approach must be coordinated with local, state, and federal Joint Information Center (JIC) approaches.

Handbook Organization

This Handbook is integrated with the NG JTF Commander Training Course. It provides a synopsis of the information of the Knowledge, Skills, and Attributes (KSA) necessary to effectively engage in the course. To prepare for the role, State-CJTF must be able to understand and apply knowledge in a wide spectrum of areas. The JTF Commander's Course Handbook is also intended to be a resource for potential CDRs. It provides an overview of the essential information required for mission effectiveness, and refers to additional resources for detailed information. The Handbook is organized to follow the JTF life cycle. This format provides the reader with a logical

Figure I-2: JTF Life Cycle



Domestic JTF Commander Handbook

progression of a JTF from the forming and planning stages, to deployment and employment, and finally transition and redeployment. As seen in Figure I-2, this process is cyclical and can continue as long as the JTF continues to evolve. The handbook is broken into three parts: Part 1: Forming and Planning a JTF; Part 2: Deploying and Employment of a JTF; and, Part 3: Transition and Redeployment. Within each part, the following will be discussed:

Part 1: Planning and Forming a JTF

- Chapter 1 covers command relationships and structures. It discusses the establishment of JTF C2 to include the Parallel and Dual Status Commander authorities.
- Chapter 2 discusses the planning in a civil-military environment. It describes how planning in the civil-military environment differs from the traditional joint planning process.
- Chapter 3 provides an overview of the Domestic Incident Management Structure. Specifically, it outlines the guiding federal mandates and directives, and a synopsis of the National Response Framework (NRF) and the National Incident Management System (NIMS). The coordination with other agencies and organizations is discussed, as well. Additionally, the legal implications of Dual Status command authority and legal limitation for a Dual Status Commander JTF are examined.
- Chapter 4 examines the Joint CONUS Communications Support Environment (JCCSE).

Part 2: Deploying and Employing a JTF

- Chapter 5 discusses rules and processes for funding JTF missions.
- Chapter 6 describes how to manage public communications during a JTF.
- Chapter 7 discusses the restrictions on the collection, use, and dissemination of intelligence, and the rules for the use of force.
- Chapter 8 considers the Joint Reception, Staging, Onward Movement and Integration (JSROI) process.

Part 3: Transition and Redeployment

- Chapter 9 gives an overview of end state visualization and the planning required to transition forces out of the area or redeploying them.
- Chapter 10 provides an overview of the Lessons Learned process.

Part 4: Staff Considerations

- Chapters 11 through 18 provide additional staff considerations for a JTF.

Part 5: Appendices Transition and Redeployment

- Chapter 19 contains examples of Dual Status Commander JTFs and Dual Status processes, as well as relevant forms and examples.

Part 1: Planning and Forming a JTF

1. Establishing Command and Control

References: Title 10, U.S. Code, Section 164 (10 U.S.C. § 164) - Commanders of Combatant Commands: assignment; powers and duties
10 U.S.C. § 325 (32 U.S.C. § 325) - Relief from National Guard duty when ordered to active duty
National Defense Authorization Act for Fiscal Year 2004 (Public Law (PL) 108-136, Nov 24, 2003) (FY04 NDAA), *Sec. 516. National Guard Officers On Active Duty In Command Of National Guard Units*
Duncan Hunter National Defense Authorization Act For Fiscal Year 2009 (PL 110-417, Oct 14, 2008) (FY09 NDAA), *Sec. 517. Modification Of Authorities On Dual Duty Status Of National Guard Officers*
Unified Command Plan (UCP)
Department of Defense Directive (DODD) 5105.83, *National Guard Joint Force Headquarters – State (NG JFHQs-State)* (5 January 2011)
Joint Publication (JP) 1-02, *DOD Dictionary of Military and Associated Terms* (12 April 2001, as amended through 31 October 2009)
JP 3-0, *Joint Operations* (17 September 2006, incorporating change 1 (13 February 2008))
JP 3-33, *Joint Task Force Headquarters* (16 February 2007)
Chairman of the Joint Chiefs of Staff Instruction (CJCSI) 3151.01B, *Global Command and Control System Common Operational Picture Reporting Requirements* (31 October 2008)
USNORTHCOM CONPLAN 3501-08 (Rev 1), *Defense Support of Civil Authorities*.
State References: Since laws and state capabilities may differ from state to state, it is important to remember to research your state's references regarding this topic for more detailed information.

1.1 Chapter Overview

This chapter discusses the direct C2 structure of various JTFs. Specifically, it:

- Describes Joint Command Relationships
- Describes the establishing authorities of a Parallel Command structure
- Describes the establishing authorities of a Dual Status Commander JTF (*e.g.*, President/Governor Memorandum of Agreement (MOA))
- Describes the roles and responsibilities of the various Dual Status Stakeholders (*e.g.*, Governor, The Adjutant General (TAG), USNORTHCOM)

Domestic JTF Commander Handbook

- Describes the structuring of a Dual Status Commander JTF (*e.g.*, establishing the C2 concept and developing a Common Operation Picture (COP))

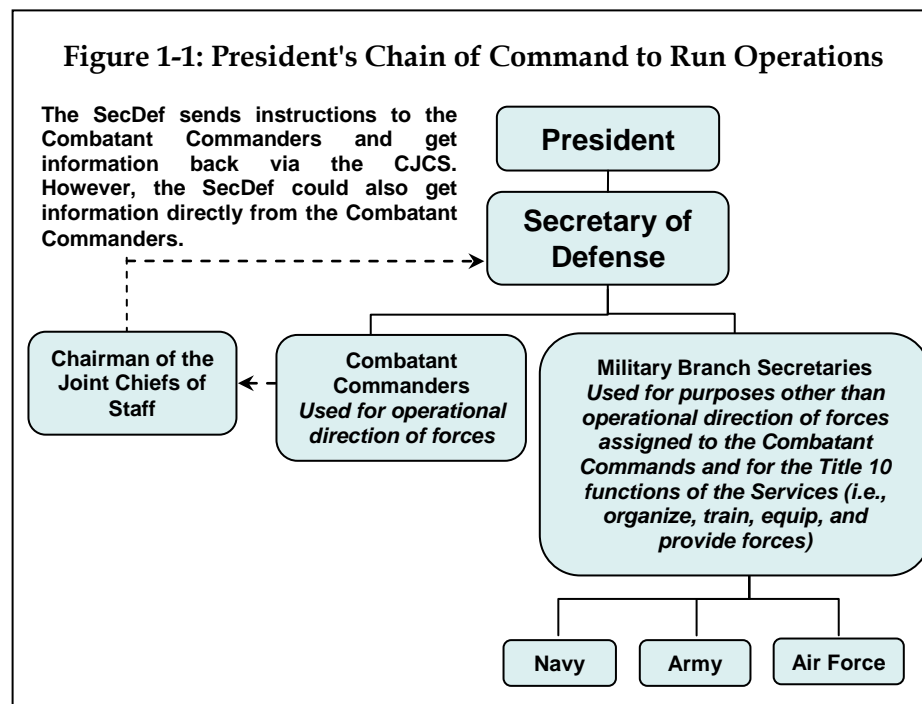
1.2 Joint Task Forces (See JP 3-0, *Joint Operations*; and JP 3-33, *Joint Task Force Headquarters*)

JTFs are subordinate elements of COCOMs and state governments' JFHQ-State that are:

- Established to accomplish limited, operational objectives
- Established by CCDRs, commands that are subordinate to COCOMs, or existing CJTF
- Usually geographical or functional
- Responsible to the JTF-establishing authority
- Staffed by the establishing authority
- Operate on temporary basis until mission is completed or no longer required

1.3 Joint Command Relationships

The President exercises his authority as Commander-in-Chief via C2 of the armed forces through a single chain of command with two branches. One branch runs from the President, through the SecDef to the CCDRs. This branch is used for the operational direction of forces. Usually, the SecDef will pass instructions to the CCDRs and receive information from them through the Chairman of the Joint Chiefs of Staff (CJCS), although he is not required to do so, nor are the CCDRs required to communicate with the SecDef through the CJCS.



The second branch runs from the President through the SecDef to the Secretaries of the Military Departments (*i.e.*, the Secretary of the Army, Secretary of the Air Force, Secretary of the Navy). This branch is used for purposes other than operational direction of forces assigned to the COCOMs and for the Title 10 functions of the Services (*i.e.*, organize, train, equip, and provide forces). Refer to Figure 1-1 for an illustration of this structure and relationship.

Domestic JTF Commander Handbook

Joint forces reside in the operational branch of the chain of command, and are designated as a unified command, subordinate unified command, or JTF. The President, through the SecDef—and with the assistance of the CJCS—establishes these joint force commands to support and protect our nation’s interests.

All Joint Forces consist of a Joint Force Commander (JFC), a joint staff (J-staff), and are composed of significant forces from two or more military departments. Forces are provided to COCOMs in several ways. To place units or personnel in an organization where such placement is relatively permanent, under the direction of the SecDef, the Secretaries of the Military Departments assign their forces to the COCOMs. Other methods are listed in Table 1-1.

Table 1-1: Methods of Assignment of Forces

| | |
|----------------------------|--|
| <i>Transfer</i> | The change of assignment (or attachment) between commands. Under the direction of the SecDef, and approved by the President, a force assigned or attached to a CCDR may be transferred from that command to another JFC through either reassignment or attachment. |
| <i>Reassignment</i> | The transfer of forces on a permanent (or for a long period) basis. Under reassignment the gaining CCDR normally exercises Combatant Command (COCOM) (command authority), and the subordinate JFCs exercise Operational Control (OPCON) over the reassigned forces. |
| <i>Attachment</i> | The transfer of forces on a temporary basis. Under attachment, the gaining CCDR and subordinates normally exercise OPCON over the attached forces. |

Joint operation planning uses four categories — assigned, attached, apportioned, and allocated — to define the availability of forces and resources for planning and conducting joint operations. In the general sense, allocation is the distribution at execution of limited resources among competing requirements for employment. Specific allocations (such as air sorties, nuclear weapons, forces, and transportation) are described as allocation of air sorties, nuclear weapons, and so forth. Allocated forces and resources are those provided by the President or SecDef for CAP. The allocation of forces and resources is accomplished in JOPES orders. Allocated augmenting forces become assigned or attached forces when they are transferred to the receiving CCDR. GFM supports allocation in support of specific requests for capabilities and forces as well as allocation in support of combatant command rotational force needs.

1.3.1 Command Relationships

Command relationships should be based on the nature of the mission and the objectives to be accomplished. Command relationships, including supported and supporting CDR(s) relationships should be delineated clearly and succinctly. This also includes:

Domestic JTF Commander Handbook

developing a clear understanding of the chain of command; identifying any additional agencies and organizations that must be kept appraised of operations; ensuring command relationships are consistent with the CDR's Intent; determining if agencies outside the formal chain of command require results of assessments or can assist the JTF in conducting assessments; and coordinating information sharing. In order to ensure unity of effort among forces, a range of command relationships has been established and ensconced in Joint doctrine (See Joint Pub (JP) 3-0 and JP 1-02) These relationships are summarized in Table 1-2.

Table 1-2: Comparison of Command Authorities

| Authority | Description |
|---|--|
| <i>COCOM</i> | Authority vested in the CDRs to command their forces. It cannot be delegated or transferred to other CDRs. |
| <i>OPCON</i> | Exercised at any level below the CDR. Empowers the CDR to perform necessary command functions including organizing and employing forces; assigning tasks to those forces; designating objectives; and giving authoritative direction. |
| <i>TACON</i> | Command authority over assigned or attached forces or commands capability made available for tasking that is limited to the detailed direction and control of movements or maneuvers within the operational area necessary to accomplish assigned missions or tasks. |
| <i>Support</i> | Command authority and denotes a relationship between a superior CDR and subordinate CDRs where one or more organizations should aid, protect, complement, or sustain another force. |
| <i>ADCON</i> | Authorizes the exercise of authority over subordinate units or other organizations in respect to administration and support. |
| <i>Coordinating Authority</i> | Consultative relationship between subordinate CDRs, not command authority to perform a specific purpose, function or activity. |
| <i>DIRLAUTH</i> | Authority to directly consult or coordinate with a command or agency outside of the granting command. |
| <i>TRO</i> | Authority that CDRs exercise over RC forces when those forces are not on active duty or when they are on active duty for training. |
| <i>Apportioned and Allocated Forces</i> | Apportioned: Assets distributed for planning purposes, they may not be available to CDRs when the plan is implemented Allocated: Assets that are committed to the force for execution. |

Domestic JTF Commander Handbook

- **Informal command relationships.** In addition to the formal relationships described in the preceding paragraphs, CDRs must be flexible enough to establish informal arrangements to fit doctrine to the situation where necessary to accomplish the task force mission. For example, during Hurricane Andrew, NG forces were integrated into 82nd Airborne Division infantry squads and companies. In these cases, CDRs must be mindful of how logistics and administrative support will be provided and how reporting systems must be modified to accommodate these nonstandard arrangements.

1.4 Command Structures

Military forces typically have developed C2 structures, systems, and procedures. Forces typically mirror their state and federal composition. Doctrine, Memorandums of Understanding and Agreement (MOUs/MOAs), and close military cooperation characterize operations in the United States. State and federal military forces may adopt a Parallel Command or Dual Status Commander structure.

1.4.1 Parallel Command

Parallel Command exists when State and federal authorities retain control of their deployed forces. Parallel Command is the simplest to establish. State and federal forces control operations through existing State and federal chains of command. Mutual interest decisions are made through a coordinated liaison effort of the political and senior military leadership of state and federal forces.

1.4.1.1 Parallel Command Organization/Structure

Parallel Command is usually the command structure of choice. Since the chains of command are already established; it is easier for the State and Federal military forces to communicate with higher and subordinate elements. The key consideration when establishing a Parallel Command structure is the horizontal coordination and liaison. Parallel Command requires a significant liaison structure. Differences in equipment, capabilities, and procedures are some of the interoperability challenges that mandate close cooperation through, among other things, liaisons. Organizations should exchange qualified liaison officers (LNOs) at the earliest opportunity to ensure mutual understanding. Liaison exchange should occur between senior and subordinate commands and between lateral or like forces, such as between SOF units or maritime forces. JTFs should deploy robust liaison teams with sufficient communications equipment to permit instantaneous communication between force CDRs during the early stages of JTF formation and planning. JTFs should appropriately prioritize their liaison requirements during deployment into the operational area to facilitate communications as soon as possible. LNOs serving with interagency and intergovernmental partners should be operationally proficient, innovative, tenacious, and diplomatic; with the authority to speak for their parent CDR. Desired capabilities of LNOs include:

- Authority to speak for the CJTF

Domestic JTF Commander Handbook

- Secure communications with the JTF

(See 1.6.3 and 11.2.1 Key Staff Functions for a more detailed discussion of key staff and LNO duties and responsibilities.)

1.4.2 Dual Status Commander

1.4.2.1 Dual Status Commander Authorities

A **Dual Status Commander** exists when a CDR is subject to both Federal and State chains of command. The 2004 National Defense Authorization Act amended U.S. Code Title 32, Section 325 (32 U.S.C. § 325), to allow a NG officer to retain his or her state commission after ordered to active duty (Title 10). The statutory change allows for a NG officer familiar with the state and local area of operations (AO) to serve both in a federal and state status to provide unity of effort for federal and state chains of command. Command authority for both Federal and State chains of command are mutually exclusive. Additionally, the statute requires both Presidential authorization and a Governor's consent to the establishment of a Dual Status CDR. Previous Dual Status JTF Commanders have been established for the 2004 Group of Eight (G-8) Summit, 2004 Democratic and Republican Conventions, Operation WINTER FREEZE, 2008 Democratic and Republican Conventions, and the 2009 G-20 Pittsburgh Summit (PITTSUM). 32 U.S.C. § 325 provides:

TITLE 32 - NATIONAL GUARD

CHAPTER 3 - PERSONNEL

Sec. 325. Relief from National Guard duty when ordered to active duty

(a) Relief Required.

(1) Except as provided in paragraph (2), each member of the Army National Guard of the United States or the Air National Guard of the United States who is ordered to active duty is relieved from duty in the National Guard of his State or Territory, or of Puerto Rico or the District of Columbia, as the case may be, from the effective date of his order to active duty until he is relieved from that duty.

(2) An officer of the Army National Guard of the United States or the Air National Guard of the United States is not relieved from duty in the National Guard of his State, or of the Commonwealth of Puerto Rico, Guam, or the Virgin Islands or the District of Columbia, under paragraph (1) while serving on active duty if -

(A) the President authorizes such service in both duty statuses; and

(B) the Governor of his State or Territory or Puerto Rico, or the commanding general of the District of Columbia National Guard, as the case may be, consents to such service in both duty statuses.

(b) Advance Authorization and Consent. - The President and the Governor of a State or Territory, or the Commonwealth of Puerto Rico, or the commanding general of the District of Columbia National Guard, as applicable, may give the authorization or consent required by subsection (a)(2) with respect to an officer in advance for the purpose of establishing the succession of command of a unit.

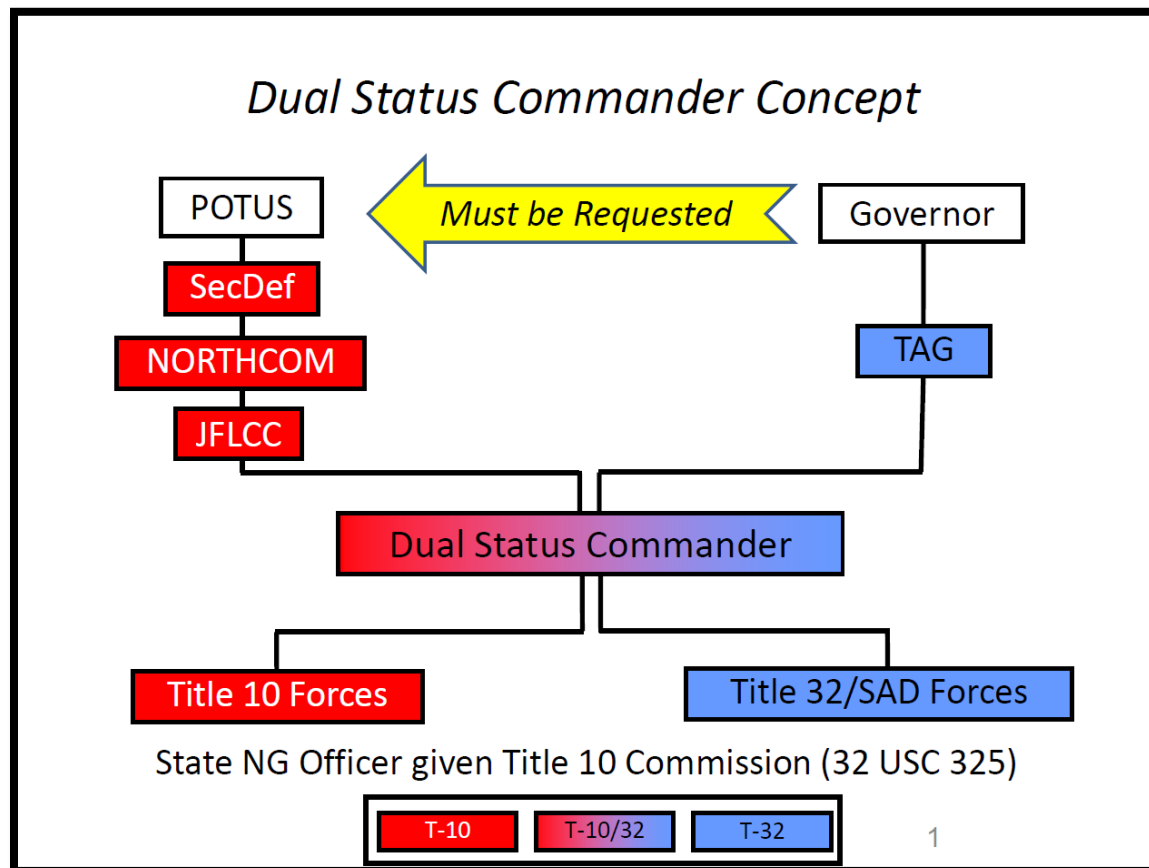
(c) Return to State Status. - So far as practicable, members, organizations, and units of the Army National Guard of the United States or the Air National Guard of the United States ordered to active duty shall be returned to their National Guard status upon relief from that duty.

Domestic JTF Commander Handbook

In addition, U.S. Code Title 32, Section 315 (32 U.S.C. § 315), allows a regular officer, *i.e.*, an active duty officer (Title 10), to receive a state commission from a State Governor without giving up his or her regular commission to provide unity of effort over both Title 32 and Title 10 personnel. 32 U.S.C. § 315 was used to appoint a Title 10 officer as a Dual Status CDR for the 2010 National Scout Jamboree.

The intent of a Dual Status JTF Commander is to provide unity of effort of personnel in Title 32 and Title 10 status for National Special Security Events (NSSEs), special events, such as the 2010 National Scout Jamboree, HD, DSCA, and other domestic emergency missions. Unity of command for a Dual Status JTF Commander derives from the Memorandum of Agreement (MOA) which is executed upon the appointment of the Dual Status CDR. [Refer to Paragraph 1.4.2.2, below.]

Figure 1-3: Dual Status Commander Concept



The JTF operating under a Dual Status JTF Commander would be generated from an existing Joint Force Headquarters-State (JFHQ-State) or NG units to accomplish definite and limited objectives. The JTF-State is activated in times of emergency by the JFHQ-State and may assume tactical control of all military units – State NG, other NG forces, Active Component and Reserves. The JTF is required to conduct its missions under a wide variety of situations and with different command, control, coordination, and

Domestic JTF Commander Handbook

reporting frameworks. Following the DOD “Strategy for Homeland Defense and Civil Support,” it is envisioned that the JTF will primarily conduct two types of missions:

- National Special Security Events (NSSEs) and special events – These are known in advance and involve deliberate planning in a civil-military environment.
- Incident Management – This type of mission is a response to a terrorist attack, natural or manmade disaster or other emergencies, which could possibly involve Chemical, Biological, Radiological, Nuclear or High-yield explosive (CBRNE) weapons. Crisis action planning (CAP) will be necessary to meet the specific conditions of the incident.

1.4.2.2 Memorandum of Agreement (MOA)

To facilitate the appointment of a NG officer in accordance with 32 U.S.C. § 325, the Governor will submit a letter to the President requesting appointment of a NG officer to be appointed as a Dual Status JTF Commander. Thereafter, an MOA will be executed.

Signed by the SecDef (or his designate, usually the Deputy Secretary of Defense (DepSecDef)) and the state Governor, the MOA is the fundamental implementing authority for the activation and operation of a Dual Status Commander JTF. The document is prepared jointly by the state Governor’s Office, the state NG, NGB, and USNORTHCOM.

A draft MOA is prepared by USNORTHCOM, the State(s) NG, and representatives from the Governor’s office. The document originates as a result of coordination meetings between state representatives and USNORTHCOM. The MOA summarizes the mission of the Dual Status JTF, the tasks it is expected to perform, component organizations, and special instructions (including constraints and restraints).

After it has been coordinated between the state and USNORTHCOM, the TAG obtains formal approval from the Governor, and the MOA is forwarded to the DOD for coordination with the Joint Staff and the Office of the Secretary of Defense (OSD). Specific coordination points depend on the mission of the task force and the operational environment considerations. Depending on the nature of the environment **and** the nature of the

Figure 1-4: Main Steps for Developing a MOA for a Dual Status Commander JTF

- **State National Guard, NGB and USNORTHCOM discuss various Courses of Action (COAs) for C2 for an operation**
- **NGB, TAG and USNORTHCOM Commander agree subject to required approval**
- **USNORTHCOM requests preliminary approval through Joint Staff to SECDEF to implement**
- **Draft MOA worked between State, NGB and USNORTHCOM**
- **TAG requests approval from Governor**
- **MOA signed by Governor and staffed through USNORTHCOM to SECDEF**

Domestic JTF Commander Handbook

mission, the MOA may also be coordinated in the interagency with non-DOD activities such as the Department of Homeland Security (DHS). Once coordination is completed the final draft is approved by the SecDef, and the document becomes the basis for Dual Status Commander JTF operations. Figure 1-4 outlines the main steps of developing a MOA for a Dual Status Commander JTF. In developing state plans, JTF CDRs should prepare draft MOAs to cover the range of operation.

1.4.2.3 CDR's Role in the MOA Process.

The Dual Status CDR's role in preparation of the MOA is not formally defined. In some cases, the MOA will be complete before a Dual Status CDR is formally appointed by the SecDef. In other cases, the CDR-designate will participate in the deliberations between the state and USNORTHCOM, especially in cases in which the mission is planned well in advance of execution (e.g., support for the Republican and Democratic National Conventions). In some instances, such as terrorist threats or attacks, the Dual Status Commander JTF will have initiated operations before the MOA preparation process is completed, operating on the basis of task orders or an MOA draft to provide immediate response and support. In cases in which the Dual Status CDR is able to participate in the MOA preparation process, they should provide expert military judgment with respect to mission, resources provided, and specific operation instructions. Specifically, they should apply their knowledge of the state, the operational environment, and the forces available and proposed to ensure that missions are feasible; objectives are achievable within acceptable risk parameters, time periods, and with the assets proposed; and restraints and constraints are realistic and do not complicate mission accomplishment unnecessarily. When directed and empowered to do so, the Dual Status CDR should represent the Governor and TAG in the initial deliberation and coordination sessions, raising to their level those issues that appear to require input or action from them prior to approving the MOA. Participation of this type ensures that Dual Status CDRs are cognizant of the underlying rationale for the MOA as well as its specific provisions. This understanding will facilitate initial activation of the Dual Status Commander JTF and provide a frame of reference for initial decisions.

Table 1-3: Primary elements of a MOA

| MOA Between the President and State | MOA Between States |
|--|---|
| 1) Purpose of MOA | 1) Scope of Mission - Describes in detailed the various tasks to be undertaken |
| 2) Chains of Command - Describing both state and federally controlled chains | |
| 3) Mission - Describing the state mission and the federal mission | 2) Scope of Support - Describes the jurisdiction in which support will take place |
| 4) Purpose for using a Dual Status command structure | |
| 5) Recognition of compliance with federal and state laws | 3) Request for Support - Describes the support the |
| 6) Sharing of Documentation - Describing who the documents will be shared with | |

Domestic JTF Commander Handbook

| MOA Between the President and State | MOA Between States |
|--|---|
| 7) Mission Conflicts - Describes what the process is for any federal/state mission conflicts and what to do if the conflict cannot be resolved. | requesting state is requires |
| 8) Troop Status - Describes under what status troops will be in (Title 10? Title 32? Something else?) | 4) Additional Provisions - Describes any outliers or other issues that may need to be discussed, including RUF 5) Signatures - Signatures of the pertinent TAGs, or Governor if required by state law. |
| 9) Delegation from Sovereigns - Describes how federal and state authorities can delegate troops | |
| 10) Incapacity of Dual Status CDR - Describes federal and state authorities that can move into Dual Status CDR's position if the CDR becomes incapacitated | |
| 11) Modifications to MOA - Describes how modifications can be made | |
| 12) Termination - Describes when/under what circumstances the MOA is terminated | |
| 13) Signatures - Signature of the President and the Governor | |

Refer to Appendices 19.3.3, 19.3.4 and 19.3.5 for samples of MOAs between the SecDef, acting for the President, and States. Refer to Appendices 19.4.1 and 19.4.2 for samples of MOAs between states.

1.5 Domestic Commander JTF Roles

1.5.1 Role and Responsibilities of Governor

The Governor is responsible for directing the execution of the state's emergency plan, using State Police or NG, or committing other state resources as the situation demands. When the response and/or recovery requirements are beyond the capabilities of local and state forces and assistance programs, the Governor may request that the President declare a "catastrophic disaster", "major disaster", or an "emergency". The Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. §§ 5121-5206) (Stafford Act) provides the President authority to use Federal resources to supplement state and local efforts. Under Title 32 however, state Governors maintain command authority over their NG forces. This generally applies to NSSEs and special events, as well. Since NSSEs are planned events, there is typically more time for Governors, interagency groups and federal agencies to work together to define roles and funding.

1.5.2 Role and Responsibilities of The Adjutant General (TAG)

The Adjutant General (TAG) serves as the principal advisor to the Governor on military matters and is the senior officer in the NG of each state. The TAG directs and oversees the daily activities of the state NG to accomplish the statutory and regulatory functions assigned, as well as to accomplish occasional ad hoc service and joint military taskings from other competent authorities. In addition to their military responsibilities some

Domestic JTF Commander Handbook

TAGs also serve as the Director of a state Department of Homeland Security (HS), Emergency Management, or both, and Veterans Affairs. (Refer to Figure 2-1) The majority of TAGs are appointed members of a Governor's staff with some holding cabinet rank. The TAG delegates authority to and through the Deputy CDR, Joint Headquarters; the Assistant Adjutant General – Army; the Assistant Adjutant General – Air; major Army and Air commands, and selected personal and special staff officers. The TAG represents the state NG and the Governor in various DOD, interagency, international, intergovernmental and unofficial meetings, conferences, and committees. The essence of the prescribed and enduring functions is to provide the channel of communications from the Chief of the National Guard Bureau (CNGB) and USNORTHCOM voluntarily; to serve as the principal advisor on NG matters to the Governor and to perform several specified statutory and regulatory policy promulgation, management, coordination, war fighting force readiness, and program oversight functions in a joint environment for elements of the Army and the Air Force within the state NG.

In accordance with DODD 5105.83, *National Guard Joint Force Headquarters – State (NG JFHQs-State)*, TAGs shall establish one or more temporary JTF command elements within their respective States ready to provide command and control for domestic operations in Title 32, or Title 10, status for appropriately established JTFs. This includes pre-designating commanders and staff elements within their respective States to participate in exercises and in training provided by the United States Northern Command to enhance readiness to provide command and control for domestic operations. TAGs shall also prepare to accept appropriate and mutually agreed upon Federal liaison elements in their respective NG JFHQs-State.

DODD 5105-83 also provides that TAGs shall:

- a. Designate a qualified officer or officers eligible to serve in dual status pursuant to 32 U.S.C. §325(a)(2).
- b. Ensure designated HD- and CS-unique equipment is available for HD and CS use should the unit owning the equipment deploy for other missions, except for modified Table of Organization and Equipment and Unit Type Code equipment that is unit-organic.
- c. Develop joint mission-essential tasks or similar indicators for all Federally assigned missions, in accordance with DODD 7730.65, to collect near-real-time data on the readiness of military forces and support organizations to perform these missions.
- d. Advise their respective Governors and collaborate with the Chief, NGB; the Secretary of Defense; the Chairman of the Joint Chiefs of Staff; the Secretaries of the Army and the Air Force; and the Combatant Commanders in matters pertaining to the NG JFHQs-State.

Each state, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, and Guam, shall have a JFHQ-State, a total of 54. The JFHQ-State shall be the

Domestic JTF Commander Handbook

operational focal point for NG matters that are not under the authority, direction, and control of the Secretaries of the Army and the Air Force. Each JFHQ-State shall liaise with and shall provide situational awareness among the states, and through the NGB, to the DOD during domestic operations in which state-controlled NG forces and state intergovernmental and interagency organizations are participating.

In SAD or Title 32 status, each JFHQ-State shall report to the Governor through the TAG.

1.5.3 Roles and Responsibilities of US Northern Command (USNORTHCOM)

USNORTHCOM's mission is HD, CS, and security cooperation, specifically:

- Conduct operations to anticipate, deter, prevent, and defeat threats and aggression aimed at the United States, its territories, and interests within the assigned area of responsibility (AOR); and
- As directed by the President or SecDef, provide DSCA including consequence management operations.

During a NSSE or a HD incident, USNORTHCOM is the supported combatant command with the primary responsibility for joint operation planning. As the supported command, USNORTHCOM will consult with and assign tasks to subordinate CDRs, such as the Dual Status JTF Commander. Details on how the Domestic JTF Commander interacts in the planning process are outlined in Chapter 5. Below is a listing of some of USNORTHCOM's organizations that can be utilized during a NSSE.

- **North American Aerospace Defense Command (NORAD)-USNORTHCOM Command Center (N2C2).** N2C2 establishes a diagram and description of responsibilities, authorities, and MOAs with NGB.
- The **Joint Force Air Component Commander (JFACC)** is USNORTHCOM's designated air component planning and execution headquarters for HD and CS. The JFACC offers a Dual Status CDR numerous support capabilities such as providing an Air Component Coordination Element (ACCE); assisting in the Request for Forces (RFF) and Joint Operation and Planning Execution System (JOPES) processes; and providing access to civil air patrol capabilities.
- The **Joint Force Land Component Commander (JFLCC)** is USNORTHCOM's designated land component planning and execution headquarters for HD and CS established by the CJTF to organize ground forces from various branches (*i.e.*, Army, Marine Corps) under one liaison. This Liaison assists in the RFF and JOPES process, as well as assistance in coordination of land forces in the AOR.
- The **Joint Force Maritime Component Commander (JFMCC) / US Fleet Forces Command (USFF)** is USNORTHCOM's designated maritime component planning and execution headquarters for HD and CS. Employing Navy's Maritime Headquarters With Maritime Operations Center (MHQ w / MOC) operational concept, JFMCC / USFF leverages the capabilities of Navy and US Coast Guard Headquarters to provide full spectrum maritime and DSCA support.

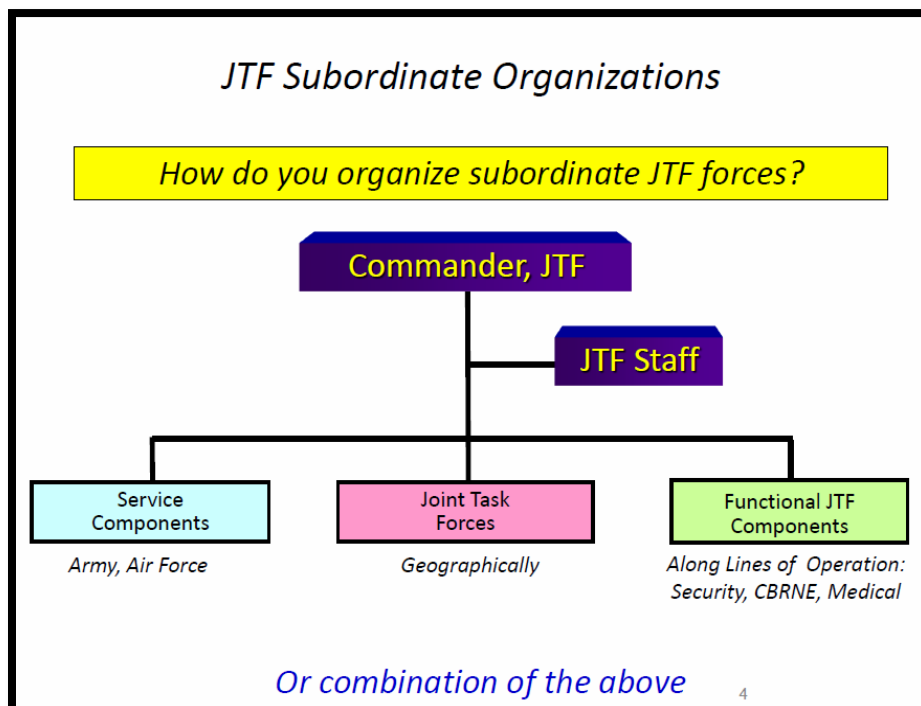
1.6 The Organizational Structure of a Dual Status Commander JTF

1.6.1 Developing a Command and Control (C2) Concept

There are several C2 models that can be employed to effectively command and control a Dual Status Commander JTF. Choice of model for a specific situation depends on the requirements of the situation for which the JTF is created, the objectives assigned to the JTF, the circumstances under which the JTF must operate, and the forces and other assets assigned to it. Once the model is selected, USNORTHCOM and NGB request preliminary approval for implementation through the Joint Staff to the SecDef. While a number of models exist, one of the most common and versatile is to create two Deputy CDRs who report directly to the Dual Status CDR. One Deputy CDR is on active duty (Title 10 status) and assists the Dual Status JTF Commander with command and control of Title 10 forces. The other Deputy CDR is in state status and assists the Dual Status JTF Commander with C2 of Title 32 forces. It is also important to develop and define coordination relationships with other state agencies, intergovernmental, NGOs, and adjoining states.

In circumstances where personnel in a Title 10 or 32 status work in close proximity, shared Force Protection conditions (FPCONs) and standards must ensure the security of all. NG members performing SAD also may work in close proximity with Title 10 or 32 personnel. Separate standards for separate statuses are not only inappropriate but could unnecessarily endanger personnel. When it is appropriate to seek standardized FP measures in these circumstances, USNORTHCOM will seek the cooperation of the States through the NGB and Services to facilitate compliance with USNORTHCOM FP measures.

Figure 1-5: Subordinate Organizations Concept

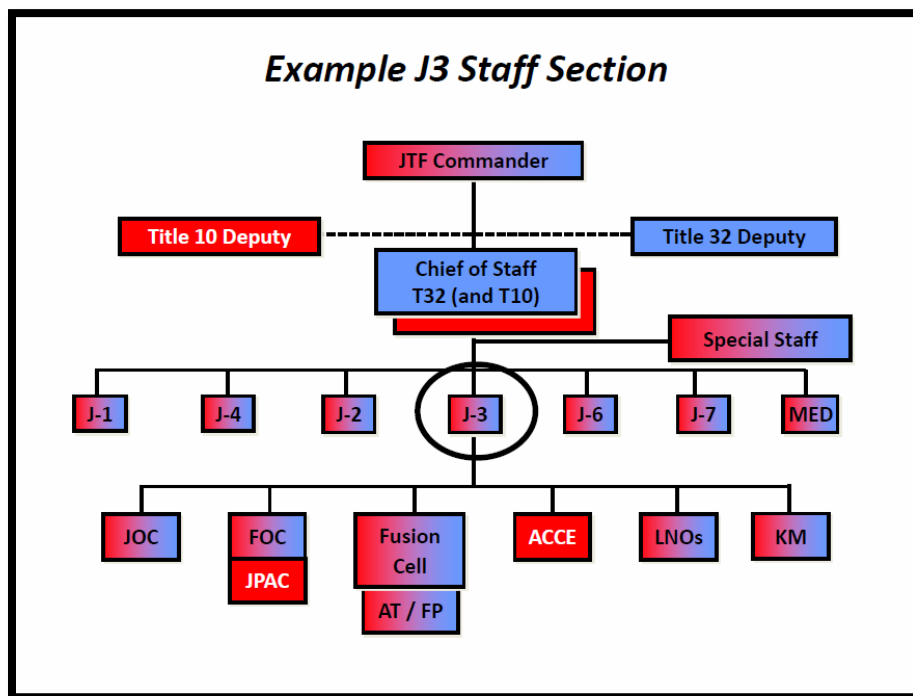


Domestic JTF Commander Handbook

1.6.2 Staff Organization

Dual Status CDRs must ensure that roles and responsibilities of the force are delineated clearly and that each element understands what it must do and how it relates to all other elements. It is crucial to identify roles and responsibilities and allocate them among the forces early on. Staff organization should be based on the CDR's mission analysis and operational guidance (part of the joint operation planning process (JOPP)), and include an initial strategy-to-task analysis that will serve as a checklist to ensure that responsibilities are assigned. Depending on the size of the JTF and the availability of staff members, an effective means of organizing the JTF staff is to include both Title 10 and Title 32 members in each staff section. In such a model, the director of each staff section would be from one component and his deputy would be from the other. Section members would include officers from each component in roughly equal numbers or according to the missions and responsibilities of the JTF.

Figure 1-6: Staff Organization Construct



1.6.3 Key Staff Functions

While the mission analysis will drive staff roles and responsibilities for planning and execution, there are some fundamental staff functions that will most likely appear in many JTFs. These include:

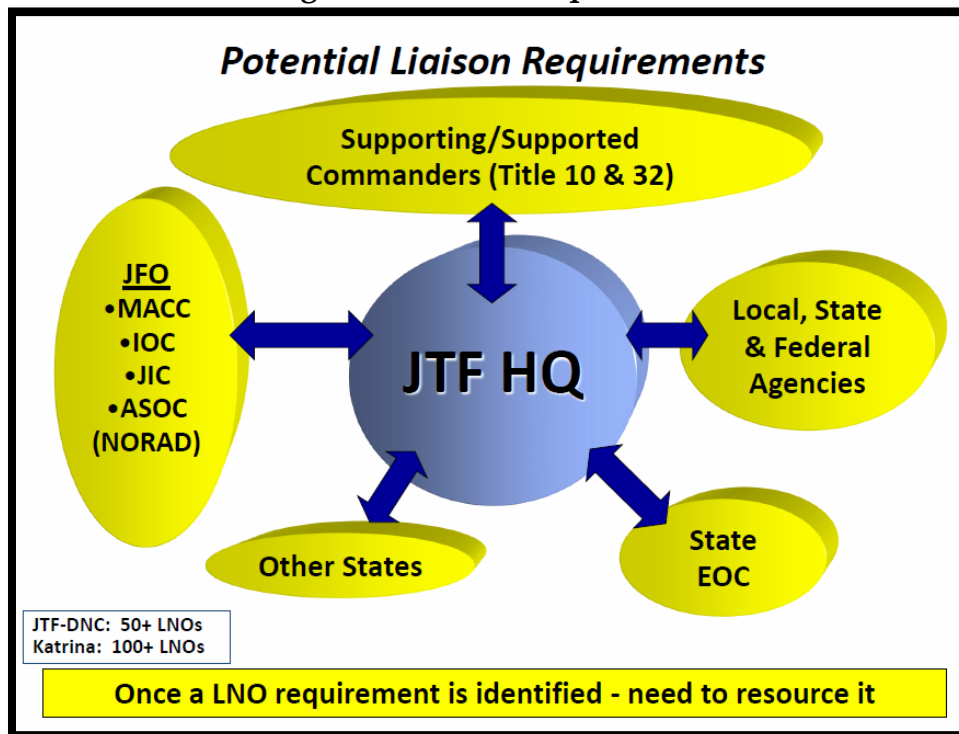
- **The Chief of Staff.** One of the most critical selections a CJTF will make is that of Chief of Staff. Because of the complex nature of JTFs and their missions, the role of the Chief of Staff is vital to ensure that the staff is organized and operates effectively, that it maintains appropriate interfaces within the JTF and with key

Domestic JTF Commander Handbook

organizations external to it, and that procedures and processes are understood and adhered to by all staff members.

- **Information Managers.** JTF Chief of Staff or another senior staff member should be designated the command's knowledge manager and should have an experienced officer as an information manager. The information manager is responsible for the COP and situational awareness and understanding.
- **Liaison Officers (LNOs).** LNOs are the personal and official representative of the sending organization or agency and should be authorized direct face-to-face liaison with the CJTF.

Figure 1-7: LNO Requirements



Impact of the Interagency (IA) /Intergovernmental (IG) / NonGovernmental (NGO) on staff structure. JTFs will have unique IRs for reporting and liaison based on the situation and mission. They will also be required to provide information to and receive information from nontraditional external sources. Part of the information management plan must include identifying sources and consumers of information, establishing mechanisms/procedures, and ensuring these are understood.

JTF operations are unique in that the CDR does not command and control entities and organizations within the IA/IG/NGO communities who may provide support to him or to whom support may be provided. Instead the JTF CDR relies most on effective coordination. Because CJTFs can exert little direct influence over IA/IG/NGO activities, success in harnessing their efforts to the JTF depends on the quality of personal relationships, the ability to exchange information, and the ability to coordinate activities, goals, and objectives. In a majority of cases, these organizations are not required to

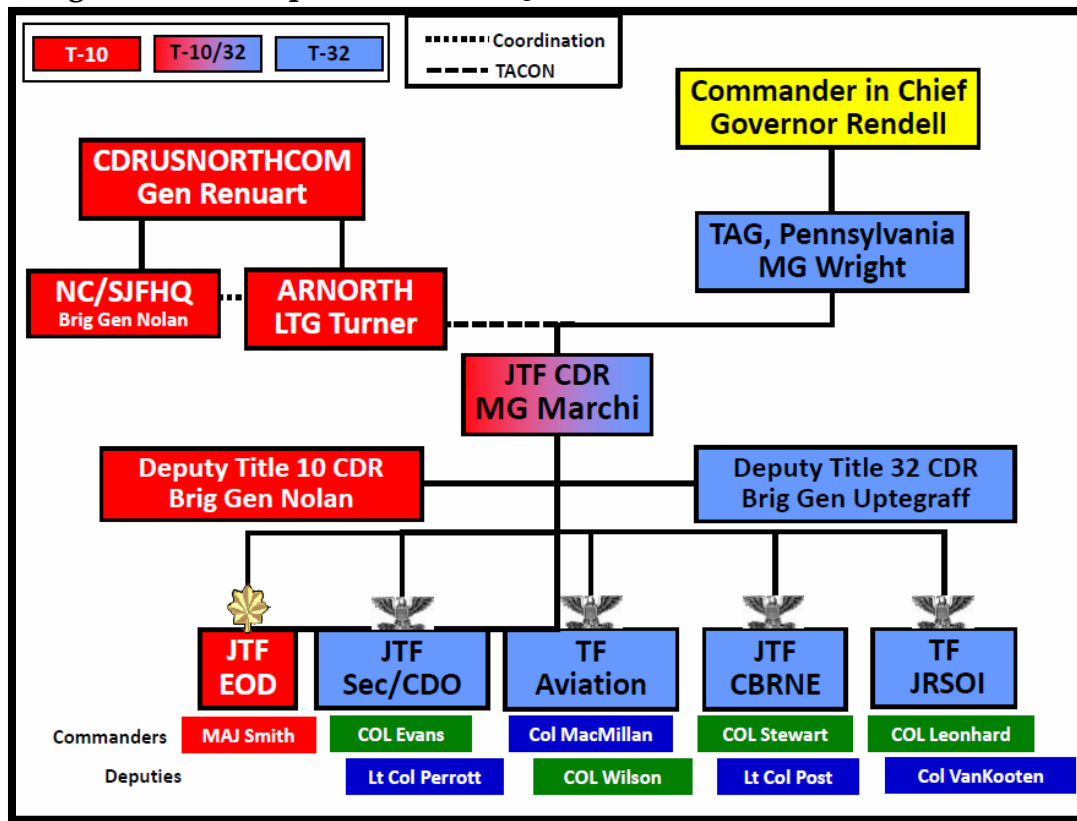
Domestic JTF Commander Handbook

provide permanent liaison cells to the CJTF, but may agree to send representatives to meetings. Often, this is not sufficient and CJTFs must plan on providing liaison officers to them. In regional events, the CJTF should establish coordination with JTFs in adjoining states. As a result, liaison personnel should be selected for their experience, maturity, resourcefulness, initiative, and their ability to anticipate IRs. As a rule, they should have sufficient rank to interact effectively with the organization to which they are accredited and to represent the CJTF with that organization.

1.6.4 Dual Status Model

Description. Dual Status JTF Commander with Title 10 and 32 deputies who assist the Dual Status JTF Commander with command of Title 10 and 32 forces, respectively. Integration occurs at the Dual Status JTF Commander and JTF Deputy CDR levels. Refer to Figures 1-8 and 1-9 for examples of the Dual Status Model. This example provides a high level organizational relationship overview between federal agencies. In addition, refer to Figure 1-10 for a more in-depth model of the JTF organization within the NG. Each staff section consists of both Title 10 and Title 32 personnel. If the director of a staff section (e.g., the J-3, the J-5) is a Title 10 officer, his deputy should be a Title 32 officer and vice versa. The chief of staff should be chosen by the CDR on the basis of his or her ability to create high performing staffs from disparate members expeditiously. Appendix 19.6 has samples of the JTF structure at the TAG level and lower.

Figure 1-8: Example of 32 U.S.C. § 325 Dual Status Model for 2009 G-20



Domestic JTF Commander Handbook

Figure 1-9: Example of 32 U.S.C. § 315 Dual Status Model for 2010 Scout Jamboree

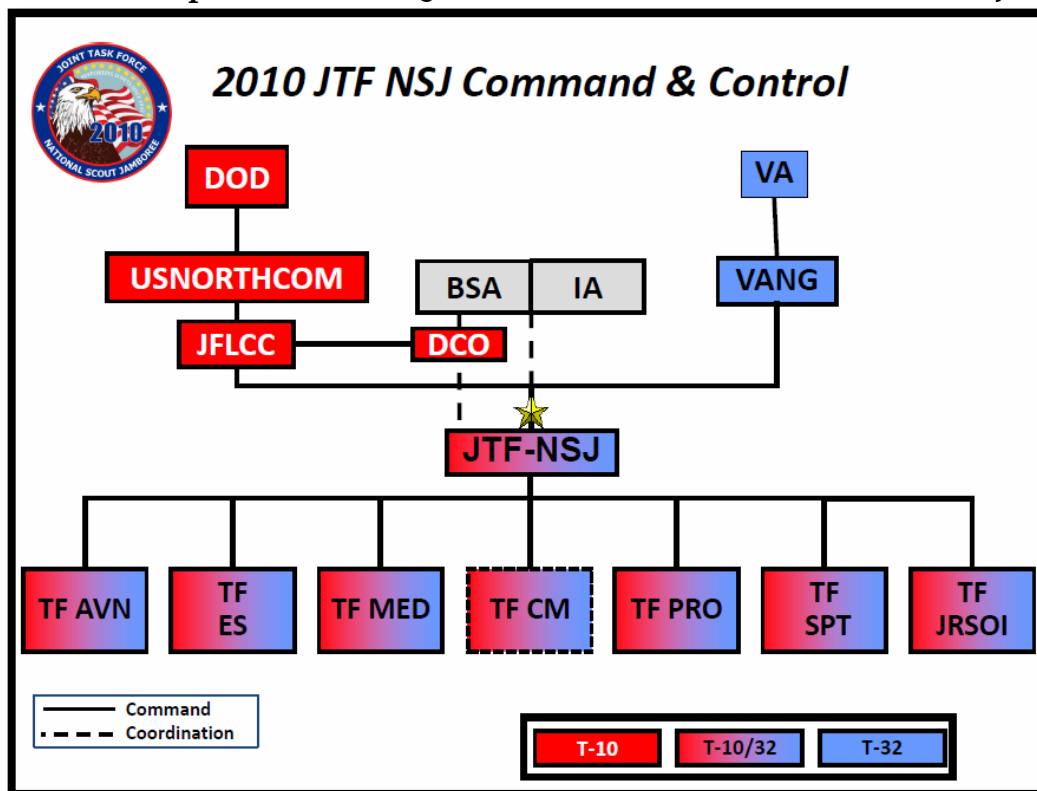
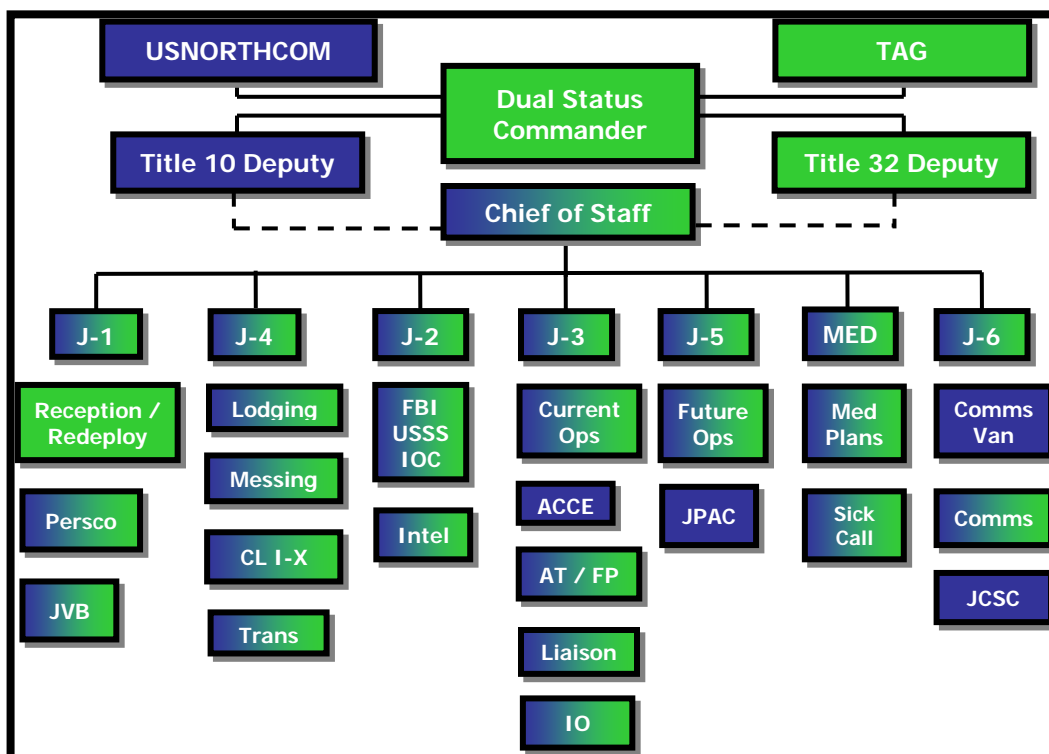


Figure 1-10: Example Dual Status Model at JTF Level



1.7 What is a Common Operational Picture (COP)

A COP is a single identical display of relevant information shared by more than one command. A COP facilitates collaborative planning and assists all echelons to achieve situational awareness. It is a set of displays developed from a shared database tailored to stakeholder mission needs. The COP is neither a static picture nor a simplistic visual display of data. It consists of potentially hundreds or thousands of databases and visual displays, arraying pertinent data and information according to the needs of the situation. This information, which is usually derived in part from other organizational COPs, can change frequently. This dynamic and adaptable form of situational awareness enables the leadership to understand the status of the organization and its activities, anticipate future requirements, challenges, and/or threats and understand key current and future circumstances. A formally established and managed COP is a powerful leadership tool to harmonize efforts across the organization, promote increased internal and external collaboration, and ensure that timely and relevant information is gathered and presented in meaningful formats. As a note, the CJTF might find it beneficial to use the N2C2, or NGB Joint Coordination Center (JoCC) as good sources for building a COP.

Stakeholder IRs are the driving force behind effective COP development. The purpose of providing a COP to stakeholders is to enable them to make decisions more effectively in the context of the overall picture. To make decisions, stakeholders require specific information. The primary stakeholders for every COP are at a minimum, the organization's leadership. Other stakeholders may include external partners or customers. Their IRs may be categorized in different ways to enable prioritization. For example, a key component of every organizational COP is the Commander's Critical Information Requirements (CCIR). Other labels or categories of IRs include Priority Information Requirements (PIR) or Essential Information Requirements (EIR). These categories provide clarity as to how information should be managed. In addition, the category names or labels are unimportant; what is important with regard to a category label is that its definition, priority and treatment are consistent throughout an organization.

The term "Common Operational Picture" can be misleading. Many interpret the word "common" to mean that the picture viewed by all organizations is the same. This interpretation is incorrect; each organization – even within the same organization – has a different picture due to the fact that the data is viewed in a different context. What should be "common," however, is the underlying data. Similarly, many interpret the word "picture" to mean that any portrayal of the COP, for example the slides shown in an Operations Center, is the COP in its entirety. Indeed, this picture is an output of the COP, but it is not the entire COP. Rather, the entire COP is the combination of data, information and knowledge that is resident in the entire organization. When the underlying data, information and knowledge are common across all leadership, partners or customers, then the organization has a true Common Operational Picture.

1.7.1 The COP Management Cycle. There are five general steps in the COP management cycle as shown in Figure 1-11. Though portrayed as discrete steps, the management cycle may not occur sequentially; steps may overlap or occur quickly. Each step is described in the following sections.

1.7.2 COP Domains. An organization's COP should include information from two domains: routine and situational.

1.7.2.1 Routine

The most common type of information found in the COP is routine data, information, perspectives, assessments and knowledge. It is routinely gathered and monitored through practiced and well-oiled mechanisms. Information from this domain is typically only reported to stakeholders when conditions are other than normal, or "by exception."

1.7.2.2 Situational

The situational domain includes additional COP components that are required to support decision-making and other core processes during non-routine incidents. This domain includes data, information, perspectives, assessments and knowledge that is gathered in response to a crisis (or anticipated crisis), a special request or interest, or other non-routine circumstance. Information from this domain is more difficult to capture than information for the routine domain. Processes are less defined and practiced, stakeholder IRs may not be known and uncertainty prevails.

Figure 1-11: COP Management Cycle

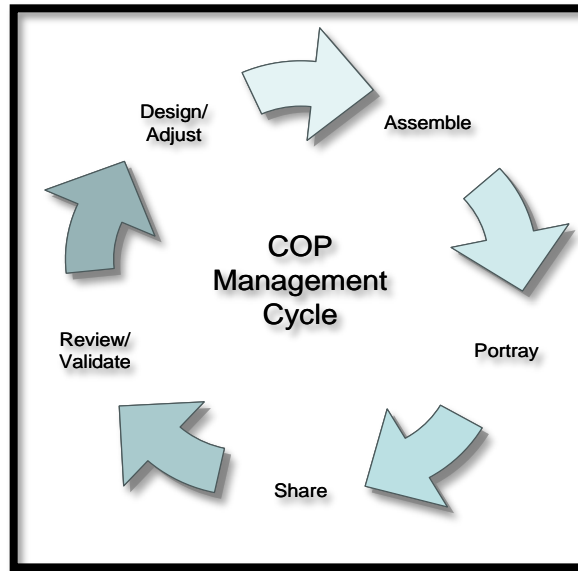


Figure 1-12: COP Best Practices

- ▶ Perform a requirements analysis to determine an appropriate and flexible COP architecture
- ▶ Ensure the COP architecture supports information requirements
- ▶ Develop a formal COP development process
- ▶ Apply equal importance and focus to all steps in the COP management cycle
- ▶ Strive to have common data with other stakeholders, not a common picture
- ▶ Ensure the COP manager is competent and capable of performing every aspect of the position

2. Planning in a Civil-Military Environment

References: Presidential Decision Directive (PDD) 62, *Protection Against Unconventional Threats to the Homeland and Americans Overseas* (22 May 1998)

Chairman of the Joint Chiefs of Staff Manual (CJCSM) 3122.01A, *Joint Operation Planning and Execution System (JOPES) Volume I (Planning Policies and Procedures)* current as of 11 October 2008

CJCSM 3122.03C, *Joint Operation Planning and Execution System (JOPES) Volume II (Planning Formats)* (17 August 2007)

CJCSM 3500.05, *Joint Task Force Headquarters Master Training Guide*

JP 3-33, *Joint Task Force Headquarters* (16 February 2007)

JP 3-57, *Civil-Military Operations* (8 July 2008)

JP 5-0, *Joint Operation Planning* (26 December 2006)

USNORTHCOM, *Joint Task Force Concept of Execution* (24 July 2006)

State References: Since laws and state capabilities may differ from state to state, it is important to remember to research your state's references regarding this topic for more detailed information.

2.1 Chapter Overview

This chapter addresses the following:

- Outlines the planning authorities that guide civil-military planning
- Outlines planning roles and responsibilities
- Provides an overview of planning for both a NSSE and for a crisis action incident
- Provides an overview of the Joint Operation Planning Process (JOPP)

2.2 Planning

2.2.1 NSSE and Special Event Planning Authorities

- **Memorandum of Agreement (MOA)**

For a NSSE, or a Special Event, if a Dual Status JTF Commander is tasked, the mission will be received through an MOA, signed by the President and the Governor (See Chapter 1 for the process of establishing an MOA).

Subsequently, the MOA enables the Dual Status JTF Commander to initiate planning activities. Planning for an NSSE occurs at three different levels: federal, state, and local.

Domestic JTF Commander Handbook

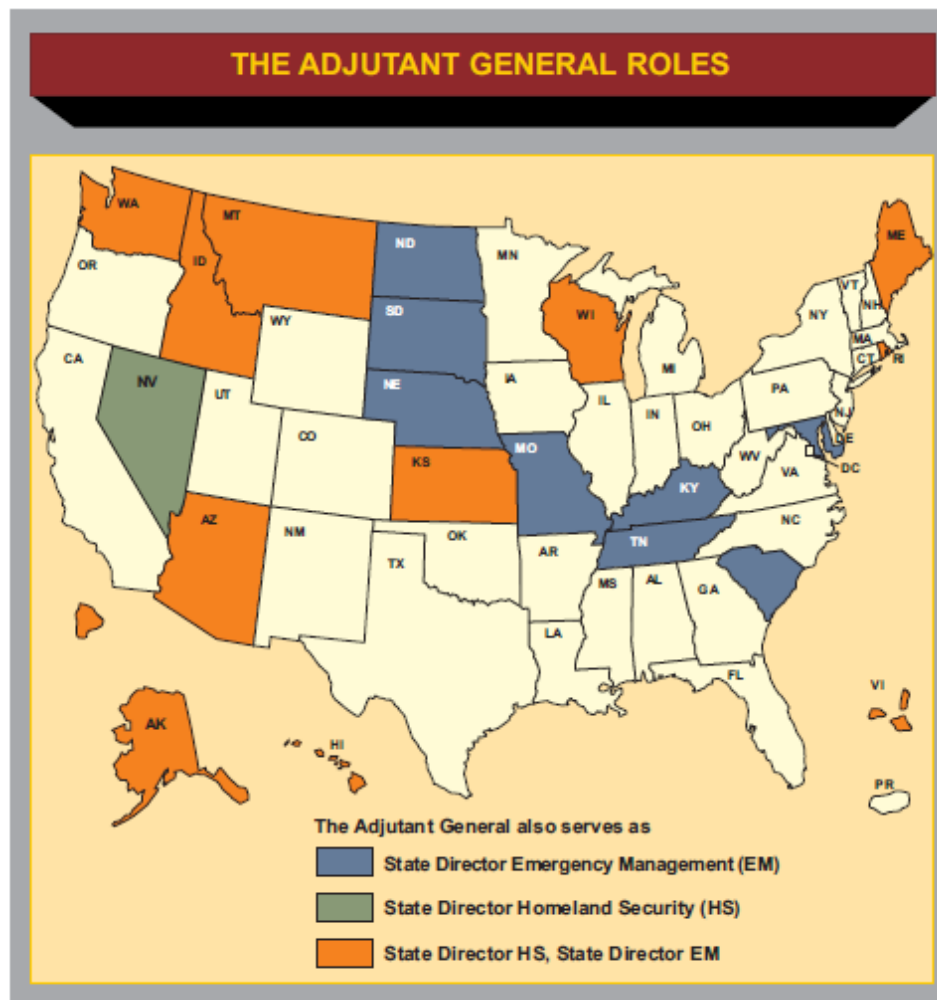
While each of the three levels has distinct foci, there is considerable overlap between planning levels.

2.2.1.1 Planning Roles and Responsibilities

- **CJCS.** The CJCS is the principal military advisor to the President, the National Security Council, and the SecDef. The CJCS manages the planning process; provides advice, options, and recommendations to the SecDef; and conveys SecDef decisions to the CCDRs.
- **Supported COCOM CDR.** The supported Combatant Command CDR, designated by the CJCS has primary responsibility for responding to a crisis. The supported COCOM CDR begins COA development as soon as he is aware that a military response may be needed and provides an estimate of the situation to the CJCS. In developing the COA, the supported COCOM CDR will consult with the CDRs of subordinate components, subunified commands, and/or JTFs. Throughout the crisis, the supported COCOM CDR will ensure that continuous communications are maintained with the supporting CDRs concerning present requirements and anticipated future actions that might affect or necessitate additional support.
- **Subordinate Command.** Subordinate commands conduct parallel planning with the supported commands. Specifically, the subordinate commands determine force and resource requirements and develop employment plans.
- **U.S. Secret Service.** Presidential Decision Directive 62 (PDD-62) designates the Secret Service as the agency with primary responsibility for security design, planning, and implementation for NSSEs.
- **Federal Bureau of Investigation (FBI).** The NRF designates the FBI as the agency with primary responsibility for law enforcement, intelligence, hostage rescue, counterterrorism, and criminal investigation during NSSEs.
- **DHS/Emergency Preparedness and Response (EPR)/Federal Emergency Management Agency (FEMA).** The NRF designates DHS/EPR/FEMA as the agency with the primary responsibility for emergency response and recovery planning and coordination.
- **State Director of Homeland Security.** During NSSEs, the State Director of Homeland Security (or his functional equivalent) leads state level planning efforts. They will serve as the chief interface with the NG (unless it is federalized), liaise with other states or localities that may be affected by the NSSE, and coordinates with the non-governmental or medical communities. In some states, the TAG will be state homeland security director and the emergency response director. In other states, the TAG will be one or the other. (See Figure 2-1 regarding TAG roles.)

Domestic JTF Commander Handbook

■ Figure 2-1: Roles of TAGs across the 54 States and Territories



2.2.1.2 Federal Level Planning

In accordance with PDD-62, the Secret Service is the federal agency with primary responsibility for security design, planning, and implementation for NSSEs. Usually a Special-Agent-in-Charge is assigned the lead for the Secret Service effort.

As the agency with primary responsibility, the Secret Service establishes a multi-agency coordination center (MACC) that serves as the focal point for interagency security planning and coordination, including the coordination of all NSSE-related information. Figure 2-2 identifies the standard interagency planning committees sub-within the MACC. [NOTE: For each NSSE, there is one Executive Steering Committee with multiple supporting sub-committees.]

This list of sub-committees should be used as a general guide. Unique circumstances from individual NSSEs may require adding or removing some of these committees. Within each of these planning committees there is representation from each of the three planning levels (federal, state, and local).

Domestic JTF Commander Handbook

The FBI supports the Secret Service through their Strategic Information and Operations Center (SIOC). The FBI SIOC ensures management and coordination of federal, state, local, and tribal investigative/law enforcement activities. Additionally, the SIOC is responsible for coordinating intelligence and information, as well as distributing all incident-related intelligence.

2.2.1.3 State Level Planning

Although state entities are involved in the MACC, there is also distinct state level planning that occurs parallel to federal planning efforts. State level planning is led by the Director of Homeland Security (or a functional equivalent). Other participants in state level planning include state cabinet officials, Adjutants General, local authorities (*e.g.*, law enforcement), and the CJTF.

State level planning focuses on how the state can support and assist local entities during the NSSE. For example, during the 2004 G-8 Summit, the Georgia Department of Homeland Security established its own working groups and developed a Homeland Security (State) Plan for the Summit. A principal focus of this plan outlined state support to local law enforcement against civil disturbances.

At the state level there is also a state operation center that serves as the coordination center for state agencies. Additionally, each major state agency often establishes its own operation cell. During the 2004 G-8 Summit, the Dual Status Commander JTF set up an individual operation cell that housed the Intelligence Directorate (J-2) and Operations Directorate (J-3). This operation cell became the command, control and coordination cell for daily operations.

2.2.1.4 Local Planning

The third level of planning, the local level, consists of the local authorities within the NSSE AO. The size of this AO will be defined through close coordination and collaboration with the respective state, county and municipal authorities. Each level of government, from the federal to the local must play a role in determining the size and extent this area encompasses.

Figure 2-2: Standard Interagency Planning Committees for NSSEs

- Logistics
- Hazmat
- Water Security
- Venues
- Accreditation/Credentialing
- Air Space Security
- Civil Disturbance/Prisoner Processing
- Consequence Management
- Crisis Management
- Critical Systems
- Dignitary/VIP Protection
- Fire/Life Safety
- Intelligence & Counterterrorism
- Interagency Communication
- Legal
- Public Affairs
- Tactical & Counter Surveillance
- Training
- Transportation/Traffic

2.2.1.5 Information Sharing

Months before a NSSE, planning sub-committees begin meeting on a regular basis (approximately once a month), and as the event approaches the frequency of the meetings usually increase. Ultimately, the success of this layered planning effort requires frequent, and often redundant, information sharing between all planning levels.

2.2.2 Crisis Action Planning (CAP)

Within the context of joint operation planning, a crisis is an incident or situation involving a threat to the United States, its territories, citizens, military forces, possessions, or vital interests.¹ It typically develops rapidly and may occur with little or no warning. It is fast-breaking and requires accelerated decision-making. Sometimes a single crisis may spawn another crisis elsewhere.

CAP begins when a significant incident or event is reported to an appropriate government agency and ends when the crisis is resolved or forces are withdrawn. To date, Dual Status Commander JTFs have only been established for NSSEs. During CAP, the JTF Commander must conduct the necessary coordination with state and local authorities as well as maintain close relationship with the supported CCDR's staff to ensure planning activities are coordinated. In CAP, interaction between the JTF Commander and his staff takes the form of guidance on the development of products and decisions at key points in the process, such as approval of a COA. Interaction typically is continuous as the JOPP steps are compressed and blend together.

Generally, CAP consists of six phases; however, the nature of the crisis will determine how much time is taken for each phase. The phases may be heavily compressed, or in some cases, eliminated. Where a potential Dual Status Commander JTF fits into the process is dependent on when it is stood up. The sooner it is stood up the more input it can have into the supported command's planning effort.

- **Warning Order (WARNORD).** A CAP directive issued by the CJCS that initiates the development and evaluation of a course of action (COA) by a supported CDR and requests that a CDR's estimate be submitted. A WARNORD describes the situation, allocates forces and resources, establishes command relationships, provides initial planning guidance, and initiates subordinate unit mission planning.
- **Planning Order (PLANORD).** An order issued by the CJCS that provides essential planning guidance and directs the initiation of execution planning. A PLANORD is usually issued before either the President or the SecDef approves a military COA and after a CDR's estimate.
- **Alert Order (ALERTORD).** An ALERTORD does not authorize execution of the approved COA.

¹ JP 5-0, *Joint Operation Planning*, Chap. I "Joint Strategic Planning", para. 14f.

Domestic JTF Commander Handbook

- **Prepare to Deploy Order (PTDO).** A PTDO can be issued by the Chairman, after authorization by the SECDEF to: increase or decrease the deployability posture of units, deploy or redeploy units. The PTDO will be issued upon decision of the SECDEF to commence preparations for the conduct of military operations. It is also used to propose the day on which a deployment operation begins (C-day) and the specific hour on C-day when deployment is to commence (L-hour). It may be issued at any point during the CAP development process.
- **Deployment/Redeployment Order.** A Deployment Order (DEPORD) or Redeployment Order (REDEPORD) can also be issued by the Chairman, after authorization by the SECDEF to: increase or decrease the deployability posture of units, deploy or redeploy units. It is also used to establish C-day and L-hour. The DEPORD (or REDEPORD) will be issued upon decision of the SECDEF to commence preparations for the conduct of military operations. Similarly it may be issued at any point during the CAP development process.”
- **Execute Order (EXORD).** An EXORD is issued by the CJCS -- by the authority and at the discretion of the SecDef -- to initiate military operations as directed.

2.3 Domestic JTF Commander Planning

Whether planning for a NSSE or a crisis incident, JTFs will employ the Joint Operation Planning Process (JOPP). This section outlines the JTF Commander’s role in the main processes and products of the JOPP. It should be noted that in a crisis situation, the traditional JOPP might be too cumbersome and time-consuming as speed and agility are foremost in providing humanitarian support. If there is not a solid plan in place to implement, it is too late to start the JOPP. For NSSEs it may be useful for the JTF Commander to use the JOPP products utilized in previous NSSEs or similar events.

Figure 2-3: JTF Mission Statement

The mission statement is the impetus for the detailed planning that follows. It is the Commander’s expression of what the JTF must accomplish and why.

Joint Pub 3-0, Doctrine for Joint Operations

Joint operation planning is the overarching process that guides joint force commanders (JFCs) in developing plans for the employment of military power within the context of national strategic objectives and national military strategy to shape events, meet contingencies, and respond to unforeseen crises.

Joint operation planning is an inherent command responsibility established by law and directive.² Joint operation planning includes all activities that must be accomplished to

² JP 5-0, *Joint Operation Planning*, Chap. I “Joint Strategic Planning”, para. 7a: “...This fundamental responsibility extends from the President and SecDef, with the advice of the CJCS, to the CCDRs and their

Domestic JTF Commander Handbook

plan for an anticipated operation — the mobilization, deployment, employment, and sustainment of forces. Planners recommend and CDRs define criteria for the termination of joint operations and link these criteria to the transition to stabilization and achievement of the end state. Planning also addresses redeployment and demobilization of forces.

Joint operation planning blends two complementary processes. The first is the JOPP. Less formal than JOPES, JOPP is an orderly, analytical planning process, consisting of a set of logical steps to analyze a mission, develop, analyze and compare alternative COAs against criteria of success and each other, select the best COA, and produce a plan or order. The second process is operational design.

Operational art is the application of creative imagination by commanders (CDRs) and staffs — supported by their skill, knowledge, and experience — to design strategies, campaigns, and major operations and organize and employ military forces. It is the thought process CDRs use to visualize how best to efficiently and effectively employ military capabilities to accomplish their mission. Operational art also promotes unified action. In applying operational art, the CDR draws on judgment, perception, experience, education, intelligence, boldness, and character to visualize the conditions necessary for success before committing forces. Operational art requires broad vision, the ability to anticipate, and the skill to plan, prepare, execute, and assess. The CDR uses operational art to consider not only the employment of military forces, but also their sustainment and the arrangement of their efforts in time, space, and purpose. Operational art requires CDRs to answer the following questions.³

- (1) What objectives do you want to accomplish? (Or) What are the conditions you want to achieve? (**Ends**)
- (2) What sequence of actions is most likely to create those conditions? (**Ways**)
- (3) What resources are required to accomplish that sequence of actions? (**Means**)
- (4) What is the likely cost or risk in performing that sequence of actions?

While operational art is the manifestation of informed vision and creativity, operational design is the practical extension of the creative process. Together they synthesize the intuition and creativity of the CDR with the analytical and logical process of design. The key to operational design essentially involves:

- understanding the strategic guidance (determining the end state and objectives)
- identifying the adversary's principal strengths and weaknesses, and;
- developing an operational concept that will achieve strategic and operational objectives.

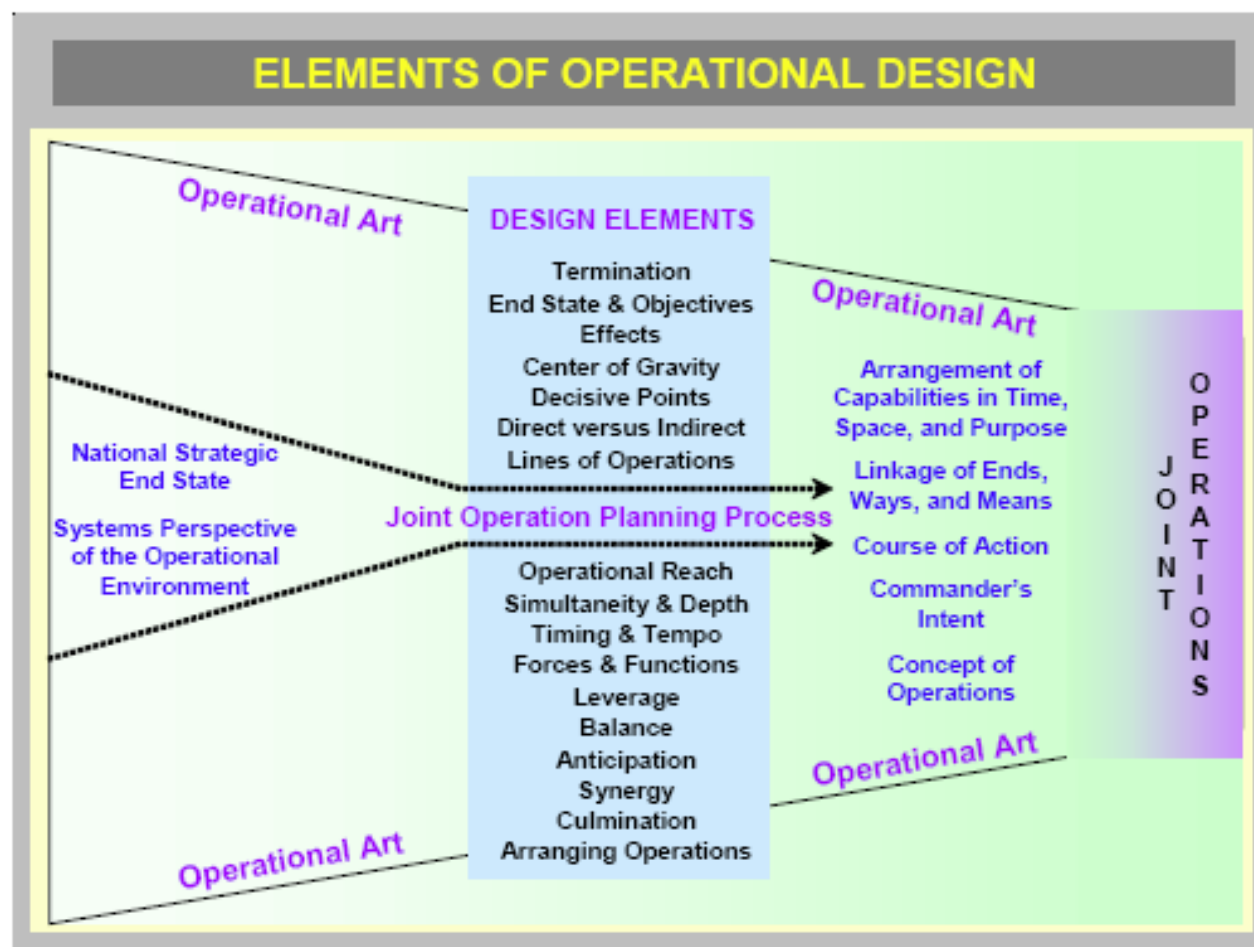
subordinate JFCs. The CJCS transmits the orders of the President and the SecDef to the CCDRs and oversees the combatant commands' planning activities. The JCS function in the planning process as advisers to the President, National Security Council (NSC), and SecDef.

³ JP 5-0, *Joint Operation Planning*, Chap. IV "Operational Art and Design."

Domestic JTF Commander Handbook

Operational design is the conception and construction of the framework that underpins a joint operation plan and its subsequent execution. Operational design is intrinsic to JOPP. JOPP provides a logical set of planning steps through which the CDR and staff interact, and operational design supports JOPP by providing a number of design elements to help the CDR and staff visualize and shape the operation to accomplish the mission. The operational design elements are used throughout JOPP and are fundamental to that process. For example, they consider the elements of *termination, end state, objectives, and effects* as early as possible during mission analysis.⁴ These operational design elements comprise a tool that is particularly helpful during COA determination. Resulting design alternatives provide the basis for selecting a COA and developing the detailed CONOPS.

Figure 2-4: Elements of Operational Design



JOPP provides a methodical approach to planning at any organizational level and at any point before and during joint operations. The focus of JOPP is on the interaction between

⁴ JP 5-0, *Joint Operation Planning*, Chap. III "The Joint Operation Planning Process", para. 1a.

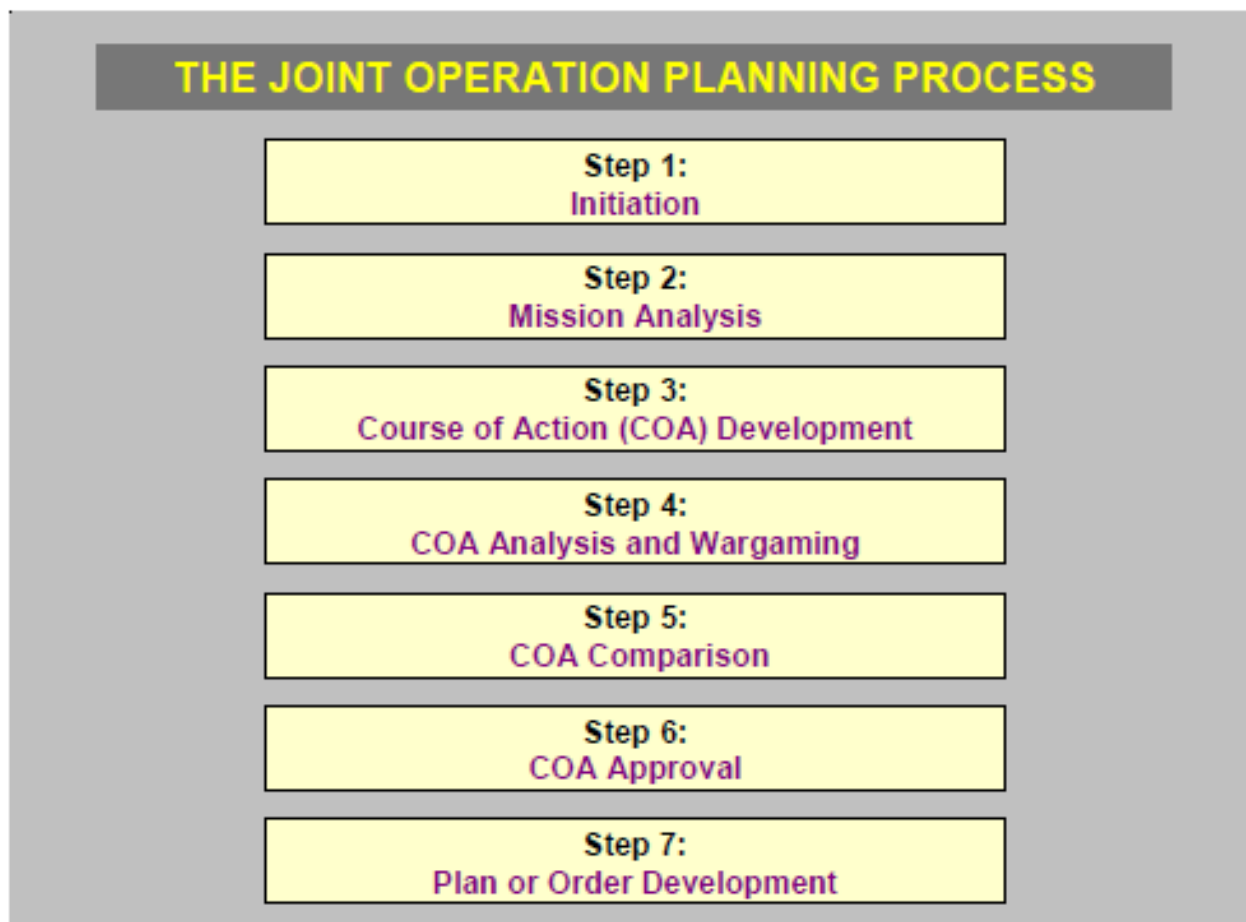
Domestic JTF Commander Handbook

an organization's commander, staff, the CDRs and staffs of the next higher and lower commands, and supporting CDR and their staffs to develop an OPLAN or OPORD for a specific mission.

JOPP helps CDRs and their staffs share a common understanding of the mission and CDR's Intent. The role of the staff is to support the CDR in achieving situational understanding, making decisions, disseminating directives, and following directives through execution. The staff's effort during planning focuses on developing effective plans and orders and helping the CDR make related decisions. The staff does this by integrating situation specific information with sound doctrine and technical competence. The staff's planning activities initially focus on mission analysis, which develops information to help the CDR, staff, and subordinate CDRs understand the situation and mission.

Similar to the *military decision planning process* (MDMP), JOPP consists of a set of seven steps, as depicted in Figure 2-5. JOPP begins with planning initiation, and moves through mission analysis, COA development, COA analysis and wargaming, COA comparison, COA approval, and plan or order development.

Figure 2-5: Joint Operation Planning Process (JOPP)



Domestic JTF Commander Handbook

Preparation and execution, while not part of the JOPP, highlight the importance of continuous planning. At any time during the operations process, the situation may require the CDR to restart the JOPP. Examples of these circumstances include:

- The CDR receives a new mission.
- The CDR receives or perceives a possible follow-on mission.
- The CDR receives or perceives a contingency based on a variance in the current operation.

CDRs can alter the JOPP to fit time-constrained circumstances and produce a satisfactory plan. In time-constrained conditions, CDRs assess the situation, update their CDR's visualization, and direct the staff to perform those JOPP activities needed to support the required decisions. Streamlined processes permit CDRs and staffs to shorten the time needed to issue orders when the situation changes. In a time-constrained environment, many steps of the JOPP are conducted concurrently. To an outsider, it may appear that experienced CDRs and staffs omit key steps. In reality, they use existing products or perform steps in their heads instead of on paper. They also use shorthand procedures and implicit communication.

2.3.1 Commander's Role in Planning

CDRs are in charge of the planning process. From start to finish, their personal role is central. They discipline the staff to meet the requirements of time, planning horizons, simplicity, and level of detail. They also discipline the product to ensure it is relevant to the moment and suitable to subordinates. CDRs do this by *visualizing*, *describing*, and *directing* operations.

Visualize

CDR's visualization is the mental process of achieving a clear understanding of the force's current state with relation to the environment (situational understanding), and developing a desired end state that represents mission accomplishment and the key tasks that move the force from its current state to the end state (CDRs Intent). CDR's visualization begins in planning and continues throughout the operations process until the force accomplishes the mission.

After receiving a mission, CDRs develop their initial CDR's visualization. During mission analysis, they visualize an operational framework by defining and arranging its three components – AO, battlespace, and battlefield organization. The operational framework helps CDRs visualize the arrangement of forces and resources in time, space, and purpose with respect to each and situation. They consider the factors of mission, terrain and weather, troops and support available, time available, and civil considerations, input from other CDRs, experience, and judgment to develop situational understanding. From this situational understanding, CDRs determine the desired end state and develop a construct of how to get their organization from its current position to that desired end state.

Describe

During the JOPP, CDRs *describe* their CDR's visualization through the CDR's Intent, planning guidance, and CCIR. CDRs describe an operation in terms suited to their experience and nature of the mission. They use an operational framework and the elements of operational design to describe the relationship of decisive, shaping, and sustaining operations to time and space. They emphasize how the combination of decisive, shaping, and sustaining operations relates to accomplishing the purpose of the overall operation.

The elements of operational design are tools that help CDRs visualize operations and shape their Intent. They provide CDRs a framework to conceptually link ends, ways, and means. (See Figure 2-6.) While the elements of operational design give CDRs a framework to think about operations, their usefulness and applicability diminishes at each lower echelon.

Commander's Intent

The *CDR's Intent* is a clear, concise statement of the *purpose of the operation*—what the force must do and the conditions the force must meet to succeed with respect to the terrain, and the *desired end state*. It is the statement describing the CDR's visualization that focuses effort throughout the operations process.

The *CDR's Intent* also includes where the CDR will accept risk during the operation.

During planning, the *CDR's Intent* drives the JOPP. The staff uses it to develop COAs that conform to how the CDR wants to achieve the end state. During execution, the *CDR's Intent* enables subordinates' initiative by setting limits beyond the established plan or order while retaining unity of effort. Subordinates use these expanded limits for solutions when deciding how to act when facing unforeseen opportunities and threats and in situations where the CONOPS no longer applies.

The *CDR's Intent* links the mission and CONOPS. It describes the end state and key tasks that, along with the mission, are the basis for subordinates' initiative. CDRs may also use the *CDR's Intent* to explain a broader purpose beyond that of the mission statement.

Figure 2-6: Elements of Operational Design

- Termination
- End State and Objectives
- Effects
- Center of gravity
- Decisive Points
- Direct versus Indirect
- Lines of operation
- Operational Reach
- Simultaneity and Depth
- Timing and Tempo
- Forces and Functions
- Leverage
- Balance
- Anticipation
- Synergy
- Culmination
- Arranging Operations

Domestic JTF Commander Handbook

Once given a mission, objective, and/or tasks in the higher headquarters plan or order, CDRs form their initial situational understanding using their experience, judgment, and initial staff inputs. From this they develop an initial picture of the desired end state and a construct for how to reach it. This provides the basis for their initial *CDR's Intent* statement, planning guidance, and CCIRs. The CDR continues to refine these during planning until the plan or order is published.⁵

The initial *Intent* statement normally contains the purpose and desired end state as the impetus for the planning process; it could be stated verbally when time is short. The CDR refines the *Intent* statement as planning progresses. The CDR's approved *Intent* is written in paragraph 3, "Execution," as part of the operation plan or order.⁶

The components of the *CDR's Intent* include:

- End state
- Key tasks
- Expanded purpose (if desired)

End State

Termination and *end state* are elements of operational design. (*Termination* and *end state* are discussed more fully in Sections 9.4 and 9.2, respectively.) The CDR and staff require a clear understanding of the end state, objectives, and effects elements as they conduct mission analysis and proceed through the remainder of JOPP steps.

At the operational and tactical levels, an end state consists of those conditions that, when achieved, accomplish the CDR's objectives. At the operational level, these conditions attain the aims set for the campaign or major operation. CDRs normally articulate an operation's end state by the relationship between forces and the terrain and population.

Key Tasks

Those tasks that the force must perform as a whole or the conditions the force must meet to achieve the end state and stated purpose of the operation. Key tasks are not tied to a specific COA; rather they identify what the force must do to achieve the end state. Acceptable COAs accomplish all key tasks.

Expanded Purpose

If the CDR's Intent addresses purpose, it does not restate the "why" of the mission statement. Rather, it addresses the broader operational context of the mission.

The CDR's Intent does not state the method the force will use to achieve the end state. Method is included in the CONOPS. Nor does the CDR's Intent include acceptable risk. Risk is stated in the CDR's planning guidance and is incorporated into all COAs. Planners incorporate key tasks into all COAs and ensure the COAs achieve the end state for the operation.

⁵ JP 5-0, *Joint Operation Planning*, Chap. III "The Joint Operation Planning Process", para. 2.

⁶ JP 5-0, *Joint Operation Planning*, Chap. III "The Joint Operation Planning Process", para. 12d.

Domestic JTF Commander Handbook

2.3.1.1 Planning Guidance

CDRs develop planning guidance for the staff from the CDR's visualization. Planning guidance may be as broad or detailed as circumstances require. However, it must convey to the staff the essence of the CDR's visualization. CDRs use their experience and judgment to add depth and clarity to the planning guidance. They ensure the staff understands the broad outline of the CDR's visualization, while still permitting the necessary latitude for the staff to explore different options. CDRs may, for example, identify decisive points and describe how they envision the concentration of support for each.

Planning guidance takes place after mission analysis is complete. Planning guidance initially focuses on COA development, analysis and comparison with particular attention to the key tasks. It states in broad terms when, where, and how the CDR intends to employ combat power in the decisive operation to accomplish the mission within the higher CDR's Intent. It also includes how the CDR visualizes shaping and sustaining operations contributing to the CONOPS.

The amount of detail in the planning guidance depends on the time available, the staff's proficiency, and the latitude the higher CDR allows. Broad and general guidance gives the staff maximum latitude; it lets proficient staffs develop flexible and effective options. More constrained conditions require planning guidance to be more specific and directive. The more detailed the guidance, the more quickly the staff can complete the plan. However, this approach risks overlooking or insufficiently examining things that might affect the mission execution.

When CDRs identify one or more decisive points, or an operation they consider decisive, they tell the staff. A decisive point is not an end state; it is a geographical place, specific key incident, critical factor, or function that, when acted upon, allows CDRs to gain a marked advantage over an adversary or contribute materially to achieving success. CDRs can describe verbally, with a sketch or on a map. The description shows how the CDR visualizes the array of forces at the decisive point, the expected effects on the situation and how these effects lead to mission accomplishment.

2.3.1.2 Commander's Critical Information Requirements (CCIRs)

CCIRs are elements of information required by CDRs that directly affect decision making and dictate the successful execution of military operations. CCIR result from the analysis of IRs in the context of the mission and CDR's Intent. (See pages 50-51 and Section 12.2.2 (Task 8), below, for a more detailed discussion of CCIR.) CDRs limit CCIR to a useable number (usually ten or less) for comprehension. CDRs designate them to let their staffs and subordinates know what information they deem necessary for decision making. Some CCIR may support one or more decision points. In all cases, the fewer the CCIR, the better the staff can focus its efforts and allocate scarce resources.

CCIR belong to the CDR alone. CDRs decide what IRs are critical, based on their individual cognitive abilities and CDR's visualization. Staffs recommend CCIR based on

Domestic JTF Commander Handbook

mission analysis during planning and through assessment during preparation and execution of operations. They keep the number of recommended CCIR to a minimum.

CCIR are not static. CDRs add, delete, adjust, and update them throughout an operation based on the information they need for decision making. CCIR are:

- Specified by the CDR for each operation
- Applicable only to the CDR who specifies them
- Situation dependent – directly linked to current and future missions
- Focused on predictable events or activities
- Time-sensitive. Answers to CCIR must be immediately reported to the CDR by any means available
- Always established by an order or plan.

CCIR are key elements of information CDRs required to support decisions they anticipate. CCIR also help screen the type and amount of information reported directly to the CDR. During planning, CCIR focus on information needed to determine which COA to choose. During preparation and execution, CCIR focus on information needed to validate the selected COA or determine when to initiate critical events, such as a branch or sequel. CCIR may include latest time of information of value (LTIOV) to indicate time sensitivity.

2.3.1.3 Commander's Direction

CDRs direct throughout the operations process. Their directions take different forms during planning, preparation and execution. During planning, CDRs guide their staff during the JOPP, preparing mission orders, and establishing control measures.

CDRs ensure sufficient time to plan, particularly in a CAP situation, by issuing WARNORDs at the earliest opportunity and by collaborating with Federal, state and local interagency leaders and partners as appropriate to ensure a clear understanding of the CDR's mission, Intent, guidance, and priorities.

During the JOPP, CDRs direct when they select a COA and communicate that decision to subordinates in a plan or order. They or their staffs analyze each possible COA for suitability, feasibility, and acceptability to select COAs for further analysis. After COA analysis and COA comparison, using screening and evaluation criteria developed during JOPP, CDRs select or approve the COA. CDRs also direct when they issue and revise planning guidance.

2.3.1.4 Commander, Staff and Subordinate Interaction

The JOPP is designed to facilitate interaction between the CDR, staff and subordinate headquarters throughout planning. Table 2-1 describes the roles the CDR and his staff takes in the planning process.

Domestic JTF Commander Handbook

Table 2-1: Commander and Staff Roles in the Planning Process

| Planning Process | Cdr | Staff Officers | Staff NCOs | RTOs | Clerks/Typists |
|---|-----|----------------|------------|------|----------------|
| Mission Analysis: - Prepare charts for mission analysis - Prepare terrain sketches - Update and post unit reports/status - Prepare TOC for planning process - Conduct mission analysis - Serve as a recorder during process - Brief commander and staff | X | X | X | X | X |
| Commander's Guidance: - Assist commander in developing guidance - Issue guidance - Record/post commander's guidance | X | X | X | X | X |
| COA Development: - Prepare charts - Sketch COAs - Develop COAs | X | X | X | X | X |
| COA Analysis: - Collect and prepare tools/charts - Serve as recorders during war game - Conduct war-game session | X | X | X | X | X |
| Decision: - Make recommendation to commander - Decide - Record/post commander's guidance | X | X | X | X | X |
| Orders Preparation: - Write annexes - Consolidate annexes - Type order - Reproduce order/graphics - Review order - Approve order | X | X | X | X | X |

2.3.1.5 JOPP Planning

Initiation (Receipt of Mission)

At the strategic level, the Joint Strategic Capabilities Plan (JSCP)⁷, Contingency Planning Guidance (CPG), Global Employment of the Force (GEF), and related strategic guidance statements (when applicable) serve as the primary guidance to begin contingency planning. However, CCDRs and other CDRs may initiate planning on their own authority when they identify a planning requirement not directed by higher authority. The CJCS may also issue a WARNORD. Military options normally are developed in combination with other nonmilitary options so that the President can respond with all the appropriate instruments of national power. Below the strategic level, crises are reported to the NMCC in an operational report. This initiates analysis at the strategic level and may result in the President, SecDef, or CJCS initiating military planning. Whether or not planning begins as described here, the CDR may act within approved rules of engagement (ROE)⁸ in an immediate crisis. (NOTE: In a domestic environment, rules for the use of force (RUF) are more relevant. ROE and RUF are more fully discussed below.)

At the state level, the authority which initiates planning will be the Governor, acting through the state emergency management agency, or the TAG. The TAG may initiate planning on his own authority, when the TAG identifies a planning requirement not directed by higher authority, and may also issue a WARNORD.

Particularly in CAP, the CDR and staff will perform an assessment of the initiating directive to determine time available until mission execution, the current status of intelligence products and staff estimates, and other factors relevant to the specific planning situation. The CDR typically will provide initial guidance (not to be confused with the CDR's planning guidance that is a product of mission analysis), which could specify time constraints, outline initial coordination requirements, authorize movement of key capabilities within the JFC's authority, and direct other actions as necessary.

Perform an Initial Assessment

The CDR and staff perform a quick initial assessment.

⁷ Joint Strategic Capabilities Plan (JSCP) provides guidance to the CCDRs and the JCS to accomplish tasks and missions based on current military capabilities. It apportions limited forces and resources to CCDRs, based on military capabilities resulting from completed program and budget actions and intelligence assessments. The JSCP provides a coherent framework for capabilities-based military advice provided to the President and SecDef. (JP 1-02, *DOD Dictionary of Military and Associated Terms*; see also JP 5-0, *Joint Operation Planning*, Chap. III "The Joint Operation Planning Process".)

⁸ Rules of engagement (ROE) are directives issued by competent military authority that delineate the circumstances and limitations under which U.S. forces will initiate and/or continue combat engagement with other forces encountered. Rules for the use of force (RUF) are directives issued to guide U.S. forces on the use of force during various operations; these directives may take the form of EXORDs, deployment orders, MOA, or plans. (JP 1-02 *DOD Dictionary of Military and Associated Terms*; see also JP 5-0, *Joint Operation Planning*, JP 1-04, *Legal Support to Military Operations* (1 March 2007), and JP 3-28, *Civil Support*)

This assessment includes determining the:

- Time available from mission receipt to mission execution
- Time needed to plan and prepare for the mission, for both the headquarters and subordinate units
- Staff estimates already current and those that need updating
- Time required to position critical elements – to include C2 nodes – for the upcoming operation
- The staff's experience, cohesiveness, and level of rest or stress

This assessment is designed to optimize the command's use of time while preserving time for subordinate CDRs to plan and prepare for operations.

A critical product of this assessment is the initial operational time line. The CDR and staff balance the desire for detailed planning against the time available to plan and prepare. CDRs generally allocate a minimum of two-thirds of the available time to subordinate units for planning and preparation. The operational time line is refined during mission analysis and continuously updated.

Issue the Initial Guidance

Once time is allocated, the CDR determines whether to use the full JOPP or to abbreviate the process. Time, more than any other factor, determines the detail to which the staff can plan. The CDR then issues the initial guidance (not to be confused with mission analysis). Although brief the initial guidance includes:

- The initial operational time line
- How to abbreviate the JOPP, if required
- Necessary coordination to perform, including LNOs to dispatch
- Authorized movement (to include positioning of C2 system nodes)
- Additional staff tasks, to include specific IRs
- Collaborative planning times and locations (if desired)
- Initial IR or CCIR (as required)

Issue the Initial WARNORD

The last task in receipt of mission is to issue a WARNORD to subordinate and supporting units.

This order includes, as a minimum –

- The type of operation
- The general location of the operation
- The initial operational time line
- Any movements to initiate
- Any collaborative planning sessions directed by the CDR
- Initial IR or CCIR
- Intelligence, Surveillance and Reconnaissance (ISR) tasks

Mission Analysis (See Figure 2-7). A thorough mission analysis is crucial to planning. Both the process and products of mission analysis help CDRs refine their situational understanding and determine their mission. Accurate situational understanding enables them to better visualize the operation.

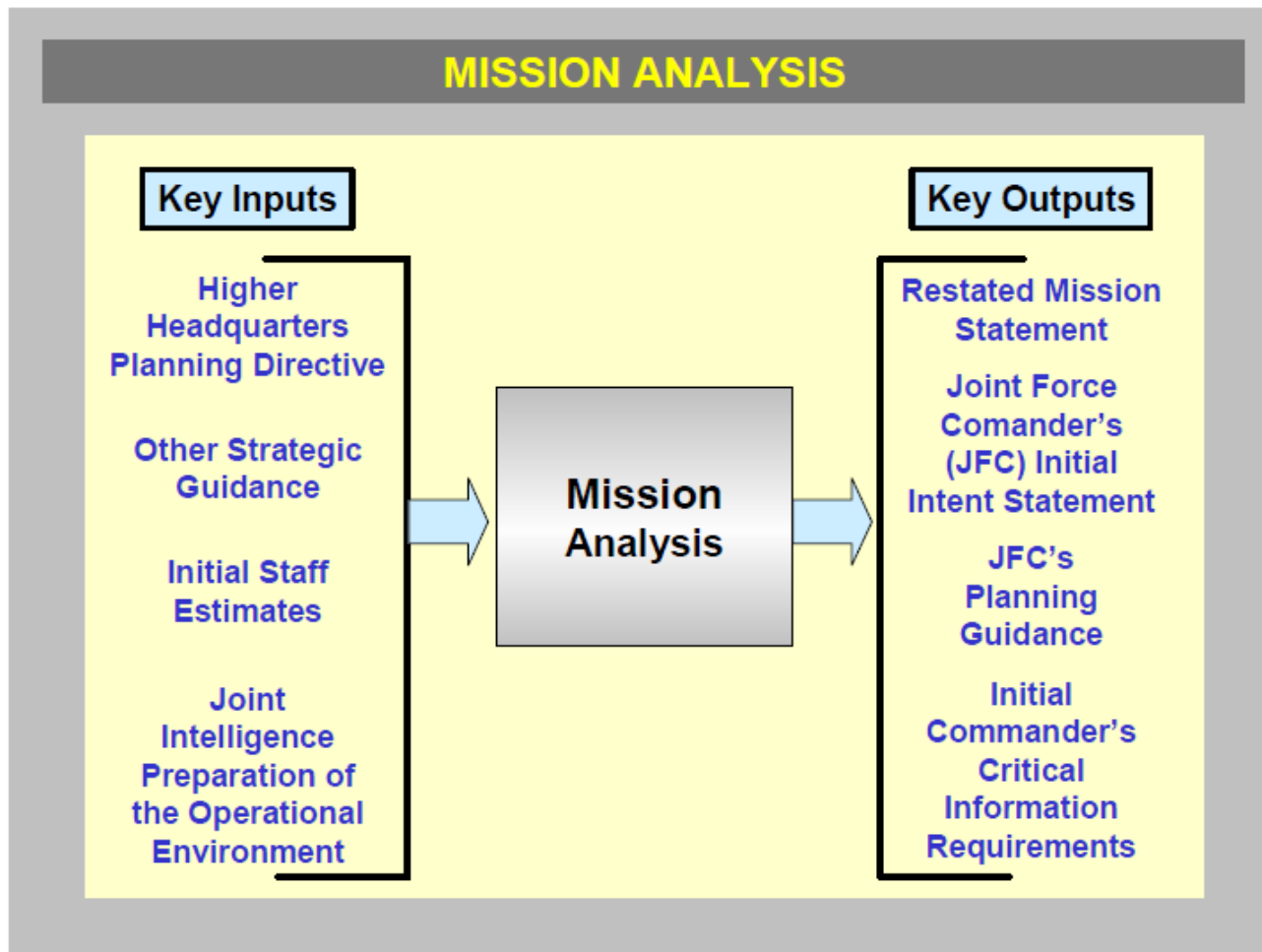
In response to the initiating planning directive, the CDR and staff analyze the assigned mission to accomplish the following:

- Assess the scope of the assigned mission, end state, objectives, and other guidance from the next higher CDR. Determine whether the mission can be accomplished in a single operation, or will likely require a campaign due to its complexity and likely duration and intensity.
- Determine military objective(s) and the specified, implied, and essential tasks.
- Develop a revised mission statement.

The primary inputs to mission analysis are the higher headquarters planning directive, other strategic guidance, the joint intelligence preparation of the operational environment (JIPOE), and initial staff estimates. The primary products of mission analysis are a restated mission statement and the JTF Commander's initial Intent statement, CCIRs, and planning guidance.

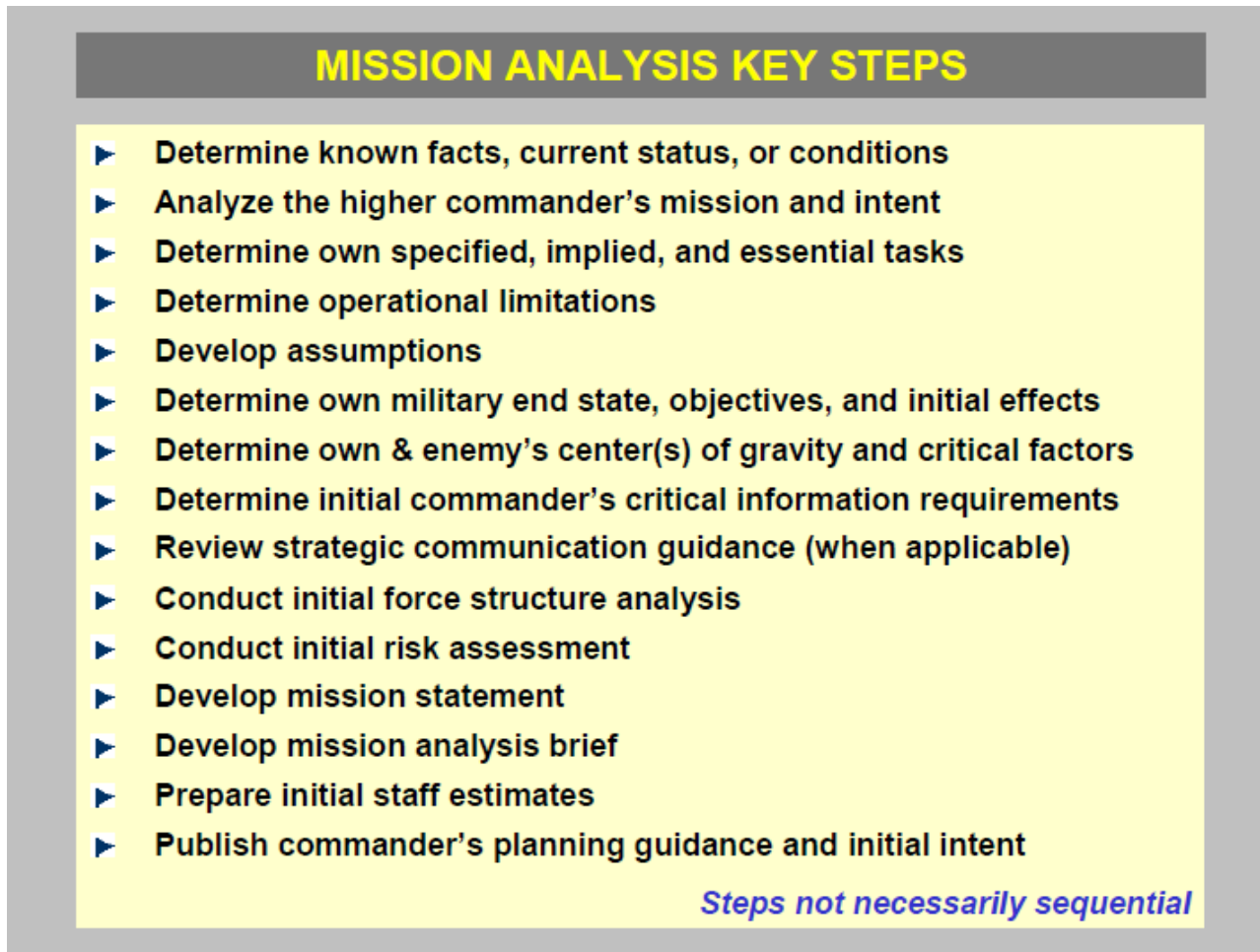
A primary consideration for a JTF Commander during mission analysis is the end state – the broadly expressed political, military, economic, social, informational, and other conditions that should exist after the conclusion of a campaign or operation. This end state normally will represent a point in time and/or circumstance beyond the use of military resources as the primary means to achieve objectives. CJTFs include a discussion of the end state in their planning guidance. CJTFs typically include the end state in their CDR's Intent statement.

Figure 2-7: Mission Analysis (JOPP)



The JTF's mission is the task or set of tasks, together with the purpose, that clearly indicates the action to be taken and the reason for doing so. The primary purpose of mission analysis is to understand the problem and purpose of the operation and issue appropriate guidance to drive the rest of the planning process. The CJTF and staff can accomplish mission analysis through a number of logical steps, such as those shown in Figure 2-8. In addition to the staff's mission analysis, CDRs perform their own mission analysis. This gives them a frame of reference to assess the staff's work and develop their visualization.

Figure 2-8: Mission Analysis Key Steps (JOPP)



For specific situations that require the employment of military capabilities, the Governor (acting through the state emergency management agency) or the TAG will establish an overall objective or set of objectives. The CJTF often will have a role in achieving more than one objective. The CJTF must work closely with the civilian leadership to ensure a clearly defined end state is established when possible. Often this end state is uncertain, difficult to determine with clarity, or an estimate based on assumptions and unpredictable conditions in the operational environment. In some situations, operations must begin before a clear understanding of the end state is determined. For all cases, the CJTF must work to frame the problem with the best information available and be prepared to reassess the situation and reframe the problem, as required. Consideration of all of the objectives necessary to reach the end state will help the supported CJTF formulate proposed termination criteria — the specified standards that must be met before an operation can be concluded.

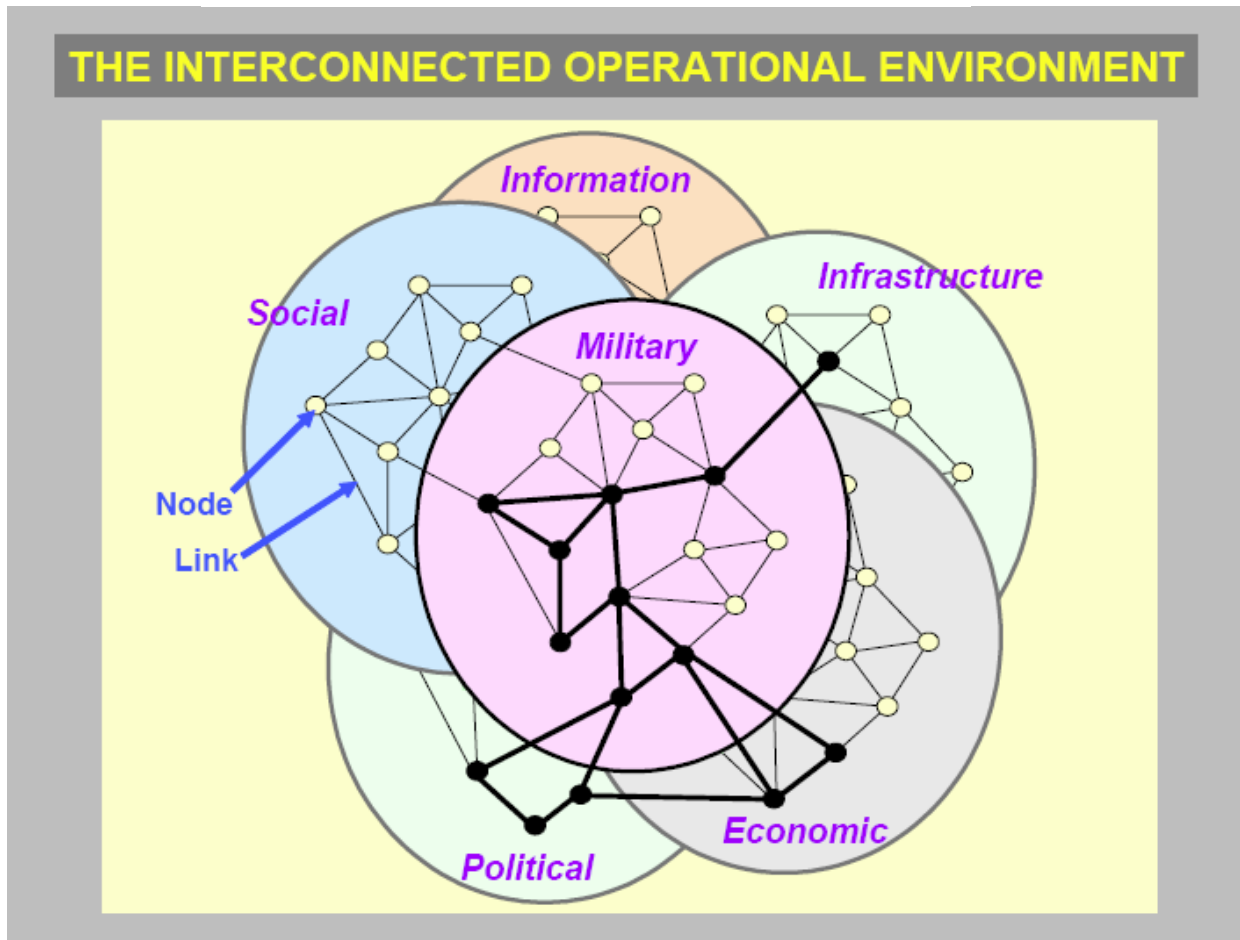
CDRs and their staff should anticipate changes to the plan that may become necessary should an assumption prove to be incorrect. Because of their influence on planning, the

Domestic JTF Commander Handbook

fewest possible assumptions are included in a plan. A valid assumption has three characteristics: it is **logical**, **realistic**, and **essential** for the planning to continue.

Analyze the operational environment with respect to mission accomplishment. This analysis should result in understanding operational limitations and other considerations that affect execution and that bear on operational and strategic decisions. A comprehensive systems perspective considers the interaction between the individual elements of a system and across multiple systems (political, military, economic, social, informational, infrastructure, legal, and others). (See Figure 2-9).

Figure 2-9: Operational Environment



While strategic and operational desired effects focus on larger aspects of various systems, tactical-level desired effects typically are associated with direct results. At the tactical level, a direct effect is the proximate, first-order consequence of an action — for example, restoration of electrical power by military engineers — which usually is immediate and easily recognizable. Direct effects at this level are most evident against structural systems. Tactical actions also can result in indirect effects — delayed and/or displaced

Domestic JTF Commander Handbook

consequences associated with the action that caused the direct effect. Indirect effects often are less observable or recognizable than direct effects.

However, indirect effects often can be unintended and undesired if there are gaps in understanding the operational environment. Destruction of a bridge could also result in the unintended disruption of electrical power and telephone communications to a nearby community if we were unaware that these utilities were attached to the bridge. Commanders and planners must appreciate that unpredictable third-party actions, unintended consequences of friendly operations, subordinate initiative and creativity, and the fog and friction of conflict will contribute to an uncertain operational environment.

One of the primary inputs to mission analysis is the JIPOE. JIPOE is the systematic, continuous process of analyzing the threat and environment in a specific geographic area to produce intelligence assessment, estimates and other intelligence products. The primary purpose of JIPOE is to support the CJTF's decisionmaking and planning by identifying, assessing, and estimating the enemy's COG(s), critical factors, capabilities, limitations, intentions, and COAs that are most likely to be encountered based on the situation.

Intelligence preparation is conducted during mission planning to support the CDR's decision making and to form the basis for the direction of intelligence operations in support of current and future missions.

The initial intelligence preparation identifies gaps in information that the CDR uses to establish initial PIR. These are incorporated into the initial intelligence, surveillance, and reconnaissance (ISR) plan.

In a domestic environment, JIPOE concepts fall under the concept of **Incident Awareness and Assessment (IAA)**. IAA is the synchronization and integration of the planning and execution of various information capabilities which provide situational awareness and assessment to civil authorities in support of domestic operations. It includes :

- Collection Management (Requirements-Based Planning, Synchronizing & Integrating Taskings)

- Acquisition

- Processing

- Assessment/Analysis

- Dissemination

The Domestic JTF CDR / J3 play an important role in J2 operations. They establish the focus. "What is important to you – the Commander?" With regard to the J2, the Domestic JTF CDR should:

- Provide clear guidance

Domestic JTF Commander Handbook

Personally write or review the CCIRs

Challenge assumptions and question procedures

Review procedures on handling of information – non-DOD affiliated persons

The JTF J2 is basically an information manager.

Determine Operational Limitations

Operational limitations are actions required or prohibited by higher authority and other restrictions that limit the CDR's freedom of action, such as diplomatic agreements, political and economic conditions in affected countries, and host nation issues. A constraint is a requirement placed on the command by a higher command that dictates an action, thus restricting freedom of action. A higher CDR normally places some constraints on subordinate CDRs. Constraints are restrictions placed on the command by a higher command. Constraints can take the form of a requirement to do something. They can also prohibit action. The CDR and staff must identify and understand these constraints. They are normally contained in the scheme of maneuver, CONOPS, or coordinating instructions. Annexes to the order may also include constraints. Constraints may also be issued orally or in WARNORDs. Many operational limitations are commonly expressed as ROE or RUF.

In a domestic environment, military leaders must work with the civilian partners (typically, first responders) in the most skilled, tactful, and persistent ways to promote unified action. A number of factors can complicate the coordination process, including the agencies' different and sometimes conflicting policies, legal authorities, roles and responsibilities, procedures, and decision-making processes.

Operations in support of civil authorities will be executed by nonmilitary organizations or perhaps even NGOs. In such instances, the understanding of end state and termination requirements may vary among the participants. The CJTF must ensure that interagency planners clearly understand military capabilities, requirements, operational limitations, liaison, and legal considerations and that military planners understand the nature of the relationship and the types of support they can provide. In the absence of a formal command structure, the CDR may be required to build consensus to achieve unity of effort. Robust liaison facilitates understanding, coordination, and mission accomplishment. The use of effects as a design element in the planning process as a way to describe the conditions necessary to achieve common objectives can promote a common understanding of COAs among agencies. This understanding could help harmonize agencies' responses in conjunction with joint operations, thus promoting unified action.

Determine End State, Objectives, and Initial Effects

Once given a mission, objective, and/or tasks in the higher headquarters plan or order, CDRs form their initial situational understanding using their experience, judgment, and initial staff inputs. From this they develop an initial picture of the military end state and

Domestic JTF Commander Handbook

a construct for how to reach it. This provides the basis for their initial CDR's Intent statement, planning guidance, and CCIRs.

The end state is the set of required conditions that defines achievement of all military objectives. This end state normally will represent a point in time and/or circumstance beyond which military resources are not required to achieve strategic objectives. The military end state typically will be more specific than the strategic objectives and contain other supporting conditions. These conditions contribute to developing termination criteria, the specified standards that must be met before a joint operation can be concluded. Clearly defining the military end state promotes unity of effort, facilitates synchronization, and helps clarify (and may reduce) the risk associated with the joint campaign or operation.

A clearly defined military end state complements and supports attaining the specified termination criteria. The military end state helps affected CJTFs modify their strategic estimates and begin mission analysis even without a pre-existing OPLAN. The CJTF must work closely with the civilian leadership to ensure a clearly defined military end state is established. While there may not be an armed adversary to confront in some situations, the CDR still must think in terms of ends, ways, and means that will lead to success.

Termination is discussed first among the elements of operational design because effective planning cannot occur without a clear understanding of the end state and the conditions that must exist to end military operations. Knowing when to terminate military operations and how to preserve achieved advantages is key to achieving the end state.

Once the termination criteria are established, operational design continues with development of the strategic objectives and definition of the military end state. When and under what circumstances to suspend or terminate military operations is a political decision.

Determine Critical Factors

The CJTF and staff must understand strengths and weaknesses in other operational environment systems (political, social, economic, infrastructure, informational, etc.) and their interaction with the military system.

Determine Initial Commander's Critical Information Requirements (CCIRs)

The CCIR identify information needed by the CDR to support his CDR's visualization and to make critical decisions, especially to determine or validate courses of action. The information needed to verify or refute a planning assumption is an example of a CCIR. They help the CDR filter information available by defining what is important to mission accomplishment. They also help focus the efforts for the CDR's subordinates and staff, assist in the allocation of resources, and assist staff officers in making recommendations. The CCIR should be limited to 10 or less at any given time to enhance comprehension. The CCIR directly affect the success or failure of the mission and they are time-sensitive

Domestic JTF Commander Handbook

in that they drive decisions at decision point. The key question is, “What does the CDR need to know in a specific situation to make a particular decision in a timely manner?”

CCIRs comprise IRs identified by the CDR as being critical to timely information management and the decision-making process that affect successful mission accomplishment. CCIRs result from an analysis of IRs in the context of the mission and the CDR’s Intent. The two key subcomponents are critical friendly force information (FFIR) and priority intelligence requirements (PIR). (In a domestic environment, this is also generally referred to as priority information requirements (PIR)).

The CDR alone decides what information is critical, based on his experience, the mission, the higher CDRs’ Intent, and input from the staff. During mission analysis, the staff develops IRs. IR are all of the information elements required by the CDR and his staff for the successful execution of operations, that is, all elements necessary to address the factors of Mission, Enemy, Terrain and weather, Troops and Support available-Time available and Civil considerations (METT-TC). Some IR are of such importance to the CDR or staff that they are nominated to the CDR to become CCIR.

CCIRs are not static. CCIR are situation-dependent and specified by the CDR for each operation. He must continuously review the CCIR during the planning process and adjust them as situations change.

The initial CCIR developed during mission analysis normally focus on decisions the CDR makes to focus planning and select the optimum COA. Once the CDR selects a COA, the CCIR shift to information the CDR needs to make decisions during execution. CDRs designate CCIR to let the staff and subordinates know what information they deem essential for making decisions. The fewer the CCIR, the better the staff can focus its efforts and allocate scarce resources for collecting it.

Conduct Initial Risk Assessment

Mission success criteria describe the standards for determining mission accomplishment. The CJTF includes these criteria in the planning guidance so that the CJTF staff better understand what constitutes mission success. These criteria are related to the termination criteria. Termination criteria typically apply to the end of an operation and disengagement by forces. Mission success criteria, on the other hand, can apply to any operation, subordinate phase, and force component operation. These criteria help the CJTF determine if and when to move to the next major operation or phase. The initial set of these criteria determined during mission analysis becomes the basis for assessment.

Risk is characterized by both the probability and severity of a potential loss that may result from the presence of a hazardous condition. During mission analysis, the CDR and staff assess two kinds of risk:

- *Tactical risk*
- *Accidental risk*

Domestic JTF Commander Handbook

The CDR issues planning guidance at the end of mission analysis with risk mitigation measures for the staff to incorporate into their COA development. Risk assessment enhances situational understanding and contributes to complete planning guidance.

CDRs and staffs assess risk whenever they identify hazards, regardless of type; they do not wait until a set point in a cycle. They consider force protection issues from natural or manmade environmental hazards. They also consider the risk of potential damage to agricultural, historic, religious or cultural sites, and civil infrastructure that may result from the conduct of military operations in the AO.

CDRs maximize planning time available to subordinate units by sending WARNORDs as detailed planning develops. CDRs also use LNOs to monitor changes at higher and adjacent headquarters.

Develop Mission Statement

One of the primary products of mission analysis is a restated mission statement. The mission statement should be a short sentence or paragraph that describes the organization's essential task (or tasks) and purpose – a clear statement of the action to be taken and the reason for doing so. The mission statement contains the elements of who, what, when, where, and why, but seldom specifies how. It forms the basis for planning and is included in the planning guidance, the planning directive, staff estimates, the CDR's estimate, the CONOPS, and the completed plan.

Mission Statement:

- (1) Express in terms of who, what, when, where, and why (purpose).
- (2) Frame as a clear, concise statement of the essential tasks to be accomplished and the purpose to be achieved.

| The five elements of a mission statement answer the questions – |
|--|
| <ul style="list-style-type: none">▪ <i>Who</i> will execute the operation (unit/organization)?▪ <i>What</i> is the unit's essential task (tactical mission task)?▪ <i>When</i> will the operation begin (by time or event) or what is the duration of the operation?▪ <i>Where</i> will the operation occur (AO, objective, grid coordinates)?▪ <i>Why</i> will the force conduct the operations (for what purpose or reason)? |

The unit mission statement along with the CDR's Intent, provide the primary focus for subordinate actions during planning, preparations, execution, and assessing.

The following is an example of a mission statement –

- **Who:** 3/75th RGR
- **What/Task:** secure/occupy
- **When:** NLT D-Day, H+3
- **Where:** JACKSON INT AIRPORT
- **Why/Purpose:** to allow follow-on forces to air-land into AO SMALLER

Additionally, the CDR may choose to include the type or form of operation in the mission statement. While the mission statement seldom contains how, including the type or form of operations provides an overarching doctrinal description of how the task will be accomplished.

The *Who*, *Where*, *When* of the mission statement is straightforward. The *What* and *Why* however, are more challenging to write clearly and can be confusing to subordinates. The *What* is a task and is expressed in terms of action verbs (for example, contain, destroy, isolate). These tasks are measurable and can be grouped by actions by the forces and effects on the mission. The *Why* puts the task into context by describing the reason for conducting the task.

The *What* in the mission statement is the tactical mission task to be accomplished. FM 3-90, defines tactical mission tasks as, “The specific activity performed by a unit while executing a form of tactical operation or form of maneuver.” These tasks normally have a specific military definition that is different from those found in a dictionary. A tactical mission task is also measurable. FM 3-90 provides a list of tactical mission tasks; however, this list is not a complete list of all tasks available to the CDR to choose from.

CDRs should use doctrinal approved tasks found in combined arms field manuals or mission training plans in the mission statement. These doctrinally approved tasks have specific meaning, are measurable, and often describe results or effects of the tasks in relationship to the terrain, and forces.

The *Why* of a mission statement provides the mission’s purpose – why are we doing this task? The purpose is normally described using a descriptive phrase and is often more important than the task. The purpose in the mission statement provides clarity to the tasks and assists with subordinate initiatives. Here is an example of a mission statement without a purpose.

- At H-Hour, D-Day, 3/75 RGR secure/occupy JACKSON INT AIRPORT (vic GL900231).

The purpose for seizing the airport in this example is unclear. Is the purpose of this mission to prevent the use of the airfield by unauthorized sources or to gain control of the

Domestic JTF Commander Handbook

airfield for use by friendly forces? Depending on the purpose, subordinates may take several different approaches to accomplishing this mission.

Publish Commander's Planning Guidance and Initial Intent

Commander's Intent. The CDR's Intent is a clear, concise statement of the purpose of the operation—what the force must do and the conditions the force must meet to succeed with respect to the terrain, and the desired end state. It is the statement describing the CDR's visualization that focuses effort throughout the operations process. The CDR's Intent may include the CDR's assessment of the adversary CDR's Intent and an assessment of where and how much risk is acceptable during the operation.

The initial Intent statement normally contains the purpose and military end state as the impetus for the planning process; it could be stated verbally when time is short. The CDR refines the Intent statement as planning progresses. The CDR's approved Intent is written in paragraph 3, "Execution," as part of the operation plan or order.

The components of the CDR's Intent include:

- End state
- Key tasks
- Expanded purpose (if desired)

The CDR's Intent focuses planning and gives the CDR a means of indirect control of subordinate elements during execution. It must be understood and remembered by subordinates two echelons down. In the absence of orders and in situations where the CONOPS no longer applies, the CDR's Intent, coupled with the mission statement, directs subordinates toward mission accomplishment. When opportunities appear, subordinates use the CDR's Intent to decide whether and how to exploit them. Therefore, brevity and clarity in writing the CDR's Intent is key. The CDR's Intent can be in narrative or bullet form; it normally does not exceed five sentences.

CJTF Planning Guidance. To ensure focused and effective planning, the CDR and staff develop and communicate planning guidance that will accompany tentative COAs to subordinate and supporting CDRs for their estimates of feasibility and supportability. As a minimum, the planning guidance should include the mission statement; assumptions; operational limitations; a discussion of the national strategic end state; termination criteria; military objectives; and the CJTF's initial thoughts on desired and undesired effects. The planning guidance should also address the role of agencies and national partners in the pending operation and any related special considerations as required.

CDRs develop planning guidance from their visualization. Planning guidance may be broad or detailed, as circumstances require. However, it must convey to the staff the essence of the CDR's visualization. After approving the unit mission statement and issuing their Intent, CDRs provide the staff (and subordinates in a collaborative environment) with enough additional guidance (including preliminary decisions) to

Domestic JTF Commander Handbook

focus staff and subordinate planning activities, and initiate preparation actions, such as movement.

The CDR's planning guidance focuses on COA development, analysis, and comparison. CDRs identify the decisive operation and how they see shaping and sustaining operations supporting it, although these are not fully developed. CDRs explain how they visualize the array of forces for the decisive operation, what effects they see the decisive operation producing, and how these effects will lead to mission accomplishment. The elements of operational design—such as the desired tempo or whether the operation will consist of simultaneous or sequential actions—help convey the CDR's visualization.

Specific planning guidance is essential for timely COA development and analysis. CDRs focus the staff's time and concentration by stating the planning options they do or do not want considered. The CDR's planning guidance focuses on the essential tasks. It emphasizes in broad terms when, where, and how the CDR intends to employ combat power to accomplish the mission within the higher CDR's Intent.

CDR's planning guidance includes priorities for all field operating systems. It states how CDRs visualize their actions within the field organization. The amount of detail in the planning guidance depends on the time available, the staff's level of proficiency, and the flexibility the higher CDR allows. Broad and general guidance provides maximum latitude; it allows a proficient staff to develop flexible and effective options. Under time-constrained conditions, the planning guidance is more specific and directive. The more detailed the planning guidance, the more quickly the staff can complete a plan. However, the focus that results increases the risk of overlooking or insufficiently examining things that might affect execution.

| As a minimum, the commander's guidance addresses— | |
|---|--|
| The decisive operation | Initial CCIR |
| ▪ Potential key decisions | ▪ The type of rehearsal to conduct |
| ▪ Identification of a decisive point or points | ▪ Surveillance and reconnaissance guidance |
| ▪ Risk | ▪ Military deception |
| ▪ Fires | ▪ Mobility and counter-mobility |
| ▪ Security operations | ▪ Priorities for the field operating systems |
| ▪ The operational time-line. | ▪ The type of order to issue |
| ▪ Collaborative planning sessions to be conducted | ▪ Movements to initiate (including C2 nodes) |
| ▪ Specific COAs to consider or not, and the priority for addressing them | ▪ Any other information the commander wants the staff to consider |

Domestic JTF Commander Handbook

The CDR's planning guidance may be written or oral. It is distributed throughout the command to ensure a common understanding.

Immediately after the CDR gives the planning guidance, the staff sends subordinate and supporting units a WARNORD.

| As a minimum, the WARNORD contains – | |
|---|---|
| ▪ Approved unit mission statement | ▪ Commander's Intent |
| ▪ Task organization changes | ▪ Attachments/detachments |
| ▪ Unit AO (sketch, overlay, or some other description) | ▪ Surveillance and reconnaissance instructions |
| ▪ Risk guidance | ▪ CCIR |
| ▪ Initial movement instructions | ▪ Security measures |
| ▪ Military deception guidance | ▪ Mobility and countermobility guidance |
| ▪ Specific priorities | ▪ The updated operational time line |
| ▪ Guidance on collaborative events and rehearsals | |

Course of Action (COA) Development and Analysis/Wargaming

After receiving the restated mission, CDR's Intent, and CDR's planning guidance, the staff develops COAs for the CDR's approval. The CDR's direct involvement in COA development can greatly aid in producing comprehensive and flexible COAs within the available time.

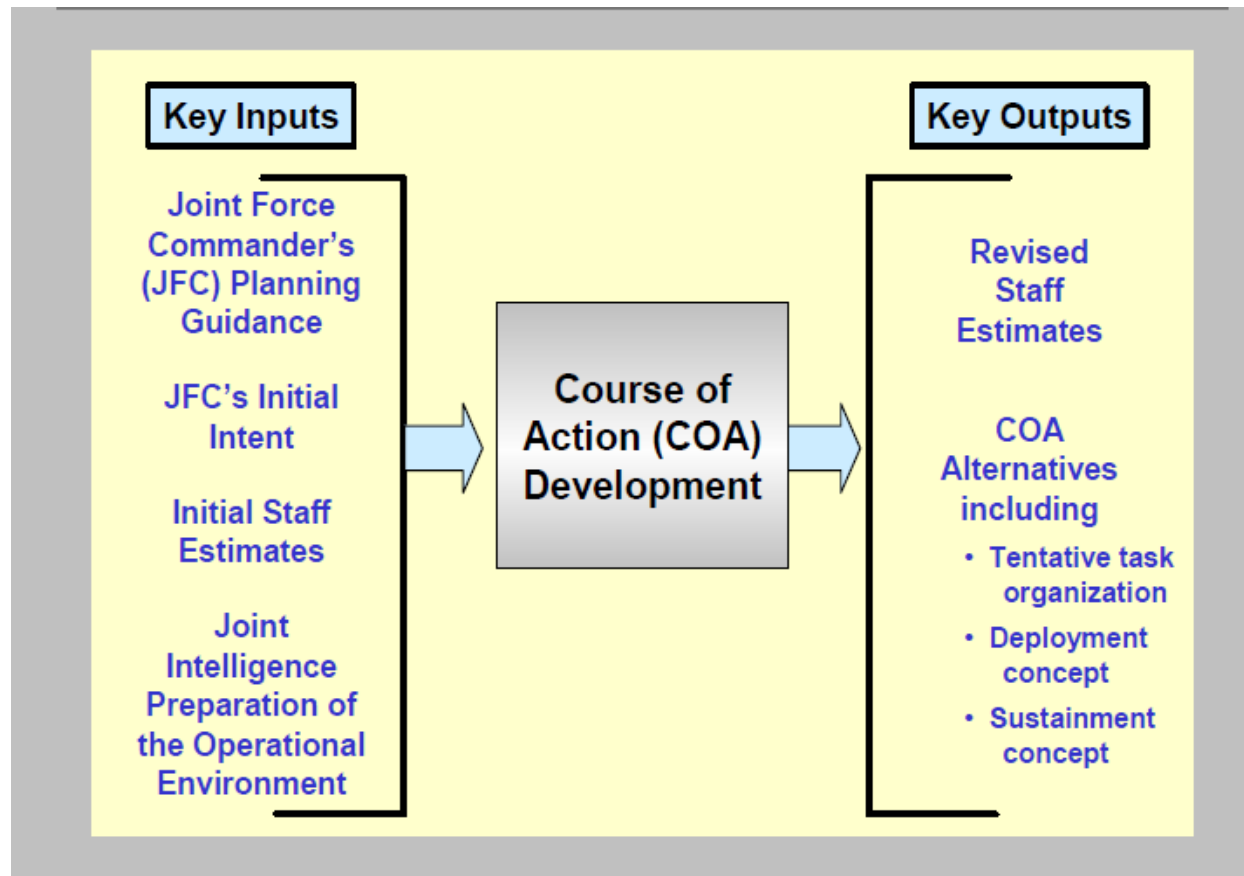
The CDR and staff analyze each tentative COA separately according to the CDR's guidance. COA analysis identifies advantages and disadvantages of each proposed friendly COA. Analysis of the proposed COAs should reveal a number of factors including:

- Potential decision points
- Task organization adjustment
- Data for use in a synchronization matrix or other decision-making tool
- Identification of plan branches and sequels
- Identification of high-value targets

Domestic JTF Commander Handbook

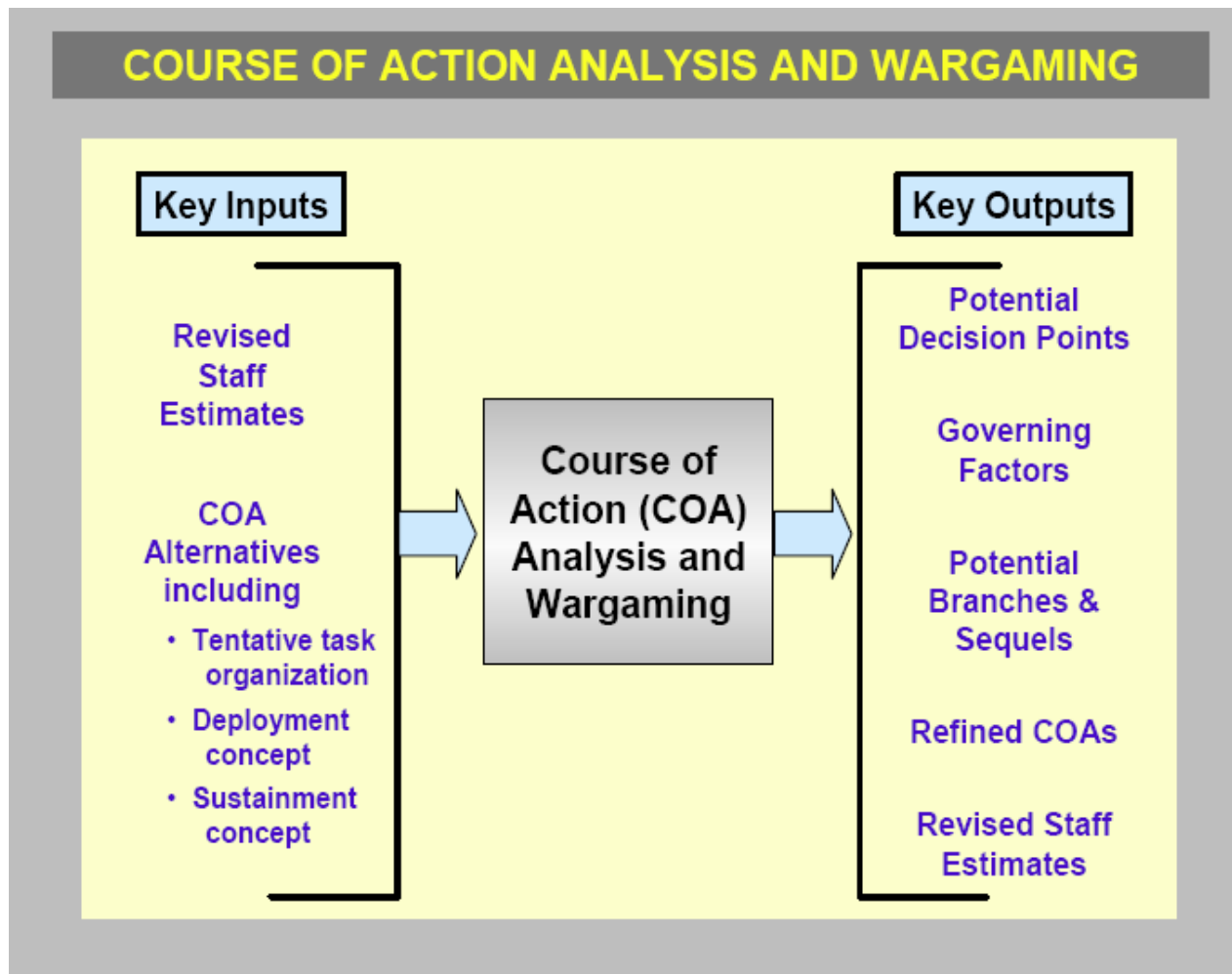
- A risk assessment
- COA advantages and disadvantages
- Recommended CCIRs

Figure 2-16: Course of Action Development



Wargaming provides a means for the CDR and participants to analyze a tentative COA, improve their understanding of the operational environment, and obtain insights that otherwise might not have occurred. An objective, comprehensive analysis of tentative COAs is difficult even without time constraints. Based upon time available, the CDR should wargame each tentative COA against the most probable and the most dangerous adversary COAs (or most difficult objectives in noncombat operations) identified through the JIPOE process.

Figure 2-19: Course of Action Analysis and Wargaming



Course of Action Approval

The staff determines the best COA to recommend to the CDR.

Commander's Decision

After the decision briefing, the CDR selects the COA the CDR believes will best accomplish the mission. If the CDR rejects all COAs, the staff starts COA development again. If the CDR modifies a proposed COA or gives the staff an entirely different one, the staff wargames the new COA and presents the results to the CDR with a recommendation.

Final Planning Guidance

After selecting a COA, the CDR issues the final planning guidance. The final planning guidance includes a refined CDR's Intent (if necessary) and new CCIR to support execution. It also includes any additional guidance on orders preparation, rehearsal, and

Domestic JTF Commander Handbook

preparation. This guidance includes priorities for resources needed to preserve freedom of action and assure continuous CSS.

CDRs include risk they are willing to accept in the final planning guidance. If there is time, CDRs discuss acceptable risk with adjacent, subordinate, and senior CDRs, often by VTC. However, a CDR must obtain the higher CDR's approval to accept any risk that might imperil accomplishing the higher CDR's mission.

Based on the CDR's decision and final planning guidance, the staff issues a WARNORD to subordinate headquarters. This WARNORD contains the information subordinate units need to refine their plans. It confirms guidance issued in person or by VTC and expands on details not covered by the CDR personally. The WARNORD issued after COA approval normally contains:

- Mission
- CDR's Intent
- Updated CCIR
- CONOPS
- AO
- Principal tasks assigned to subordinate units
- Preparation and rehearsal instructions not included in the SOP
- Final time line for the operations

Orders Production

The staff prepares the order or plan by turning the selected COA into a clear, concise CONOPS and required supporting information. The CONOPS for the approved COA becomes the CONOPS for the plan. The COA sketch becomes the basis for the operation overlay. Orders and plans provide all information subordinates need for execution. Mission orders avoid unnecessary constraints that inhibit subordinate initiative. The staff assists subordinate staffs with their planning and coordination.

The CONOPS clearly and concisely expresses what the CJTF intends to accomplish and how it will be done using available resources. It describes how the actions of the joint force components and supporting organizations will be integrated, synchronized, and phased to accomplish the mission, including potential branches and sequels.

CDRs review and approve orders before the staff reproduces and disseminates them unless they have delegated that authority. Traditionally, the chief of staff/executive officer or operations officer receives it. If possible, the order is briefed to subordinate CDRs face to face by the higher CDR and staff. The CDR and staff conduct confirmation briefings with subordinates immediately afterwards. Confirmation briefings can be done collaboratively with several CDRs at the same time, or with single CDRs. They may be performed face to face or by VTC.

2.3.1.6 Time-Saving Techniques

2.3.1.6.1 General Time-Saving Techniques

CDRs shorten the JOPP when there is not enough time to perform each step in detail. The most significant factor to consider is time. It is the only nonrenewable, and often the most critical, resource.

| |
|---|
| <p>There are several general time-saving techniques that may be used to speed up the planning process. These techniques include –</p> |
| <ul style="list-style-type: none"> ▪ <i>Maximize Parallel Planning.</i> Although parallel planning is the norm, maximizing its use in time-constrained environments is critical. In a time-constrained environment, the importance of WARNORDs increases as available time decreases. A verbal WARNORD now followed by a written order later saves more time than a written order one hour from now. The same WARNORDs used in the full JOPP should be issued when abbreviating the process. In addition to WARNORDs, units must share all available information with subordinates, especially IPB products, as early as possible. The staff uses every opportunity to perform parallel planning with the higher headquarters and to share information with subordinates. |
| <ul style="list-style-type: none"> ▪ <i>Increase Collaborative Planning.</i> Planning in real time with higher headquarters and subordinates improves the overall planning effort of the organization. Modern Information Systems (INFOSYS) and a COP shared electronically allow collaboration with subordinates from distant locations and can increase information sharing and improve the CDR's visualization. Additionally, taking advantage of subordinate input and their knowledge of the situation in their AO often results in developing better COAs faster. |
| <ul style="list-style-type: none"> ▪ <i>Use LNOs.</i> LNOs posted to higher headquarters allow the command to have representation in their higher headquarters planning secession. LNOs assist in passing timely information to their parent headquarters and can speed up the planning effort both for the higher and own headquarters. |
| <ul style="list-style-type: none"> ▪ <i>Increase CDR's Involvement.</i> While CDR's cannot spend all their time with the planning staff, the greater the CDR's involvement in planning, the faster the staff can plan. In time-constrained conditions, CDR's who participate in the planning process can make decisions (such as COA selection), without waiting for a detailed briefing from the staff. The first timesaving technique is to increase the CDR's involvement. This technique allows CDRs to make decisions during the JOPP without waiting for detailed briefings after each step. |
| <ul style="list-style-type: none"> ▪ <i>Limit the Number of COAs to Develop.</i> Limiting the number of COAs developed and wargamed can save a large amount of planning time. If time is extremely short, the CDR can direct development of only one COA. In this case, the goal is an acceptable COA that meets mission requirements in the time available, even if the COA is not optimal. This technique saves the most time. |

2.3.1.6.2 Specific Time-Saving Techniques

Receipt of Mission

The tasks performed during mission receipt do not change in a time constrained environment. In all situations, CDRs decide whether or not to abbreviate the process and, if so, be specific about how they want to do it.

Mission Analysis

The CDR's involvement is the key to saving time during mission analysis. If there is not enough time for a detailed mission analysis, the CDR, staff, and subordinate CDRs (if collaborative tools are available) perform a rapid mission analysis. They determine the restated mission based on intuitive decisions and whatever information is available. In extreme circumstances, the CDR and key staff may perform mission analysis mentally. This should be the exception rather than the norm.

IPB requires constant attention. Many delays during mission analysis can be traced to it.

CDRs who have been directly involved in mission analysis may decide to skip the mission analysis briefing.

Issuing detailed CDR's guidance is one way to save time during mission analysis. The elements of the CDR's guidance may be the same as the full JOPP, but the guidance is much more directive. Detailed guidance may include outlining what the CDR expects in each COA. It may include a tentative task organization and CONOPS. Detailed guidance keeps the staff focused by establishing parameters within which to work.

Course of Action Development

Increased CDR involvement in COA development saves a significant amount of time. It results in detailed and directive CDR's guidance. The greatest saving comes when the CDR directs development of only a few COAs instead of many.

Performing a hasty wargame at the end of COA development can save time. A hasty wargame allows CDRs to determine if they favor one or more of the proposed COAs.

The choice of COA is often intuitive, relying on the CDR's experience and judgment. The CDR determines which staff officers are essential to assist in COA development depending on the type of operation being planned. The minimum is normally the intelligence officer, operations officer, fire support coordinator, engineer coordinator, and chief of staff/executive officer.

Course of Action Analysis

The CDR and staff fully wargame a limited number of COAs to ensure all elements are fully integrated and synchronized. An early decision to limit the number of COAs wargamed, or to develop only one COA, saves the greatest amount of time.

The CDR's involvement can save significant time in COA analysis by focusing the staff on the essential aspects of the wargame. The CDR can supervise the wargame and make

Domestic JTF Commander Handbook

decisions, provide guidance, and delete unsatisfactory concepts. If time is available to wargame multiple COAs, the CDR may identify the COA the CDR favors. Unwanted COAs are then discarded and the time allocated to refining the selected COA.

The CDR always assesses risk during COA analysis. Limiting the number of COAs may increase risk to the command. CDRs evaluate all COAs to ensure they will not render the force incapable of anticipated operations or lower the unit's combat effectiveness beyond acceptable levels.

Course of Action Comparison

If the CDR decides to wargame only one COA, or if the CDR chooses one COA during the wargame, no COA comparison is needed. If multiple COAs have been wargamed and the CDR has not made a decision, the staff must perform a COA comparison. Limiting the evaluation criteria and weighting factors is the only significant shortcut in this step.

Course of Action Approval

If the CDR has observed and participated in the planning process, the CDR can make an immediate decision at the end of COA comparison. If the CDR has not participated in the process or has not made a decision, a decision briefing is required. Good COA comparison charts and sketches help the CDR visualize and distinguish among the COAs.

Orders Production

In a time-constrained environment, time is important and a verbal FRAGORD may be issued immediately after the CDR makes a COA decision. The staff follows the verbal FRAGORD with a written order as soon as possible. If a verbal order is not issued, the staff immediately sends out a WARNORD, followed as quickly as possible by a written order. In all cases, the staff captures all the information in verbal orders and WARNORDs, and produces a written order to follow up on any previously issued orders.

3. Coordinating with the Interagency, Intergovernmental, and National Guard Communities

References: 6 U.S.C. §§ 101-557 - Homeland Security Act of 2002
31 U.S.C. § 1535 – The Economy Act
42 U.S.C. §§ 300hh and 300hh-11 - National Preparedness for Bioterrorism and other Public Health Emergencies
42 U.S.C. §§ 5121-5206 – The Stafford Disaster Relief and Emergency Assistance Act; and scattered sections of 12 U.S.C., 16 U.S.C., 20 U.S.C., 26 U.S.C., 38 U.S.C.
Emergency Management Assistance Compact (EMAC), (PL 104-321, 110 Stat. 3877 (19 October 1996)
Homeland Security Presidential Directive (HSPD) 5, *Management of Domestic Incidents* (28 February 2003)
Executive Order (EO) 12333, *U.S. Intelligence Activities* (4 December 1981)
National Response Framework (NRF) (January 2008)
National Incident Management System (NIMS) (December 2008)
NRF Catastrophic Incident Annex
NRF Catastrophic Incident Supplement (NRF-CIS)
National Strategy for Homeland Security (Homeland Security Council (October 2007))
Strategy for Homeland Defense and Civil Support (Department of Defense (June 2005))
Department of Defense Directive (DODD) 3025.18, *Defense Support of Civil Authorities (DSCA)* (29 December 2010)
DOD 3025.1-M, *Manual for Civil Emergencies* (June 1994)
DODD 5210.56, *Use of Deadly Force and the Carrying of Firearms by DOD Personnel Engaged in Law Enforcement and Security Duties* (1 November 2001 (incorporating change 1 (24 January 2002))
DODD 5240.01, *DOD Intelligence Activities* (27 August 2007)
JP 3.08, *Interagency, Intergovernmental Organization, and Nongovernmental Organization Coordination During Joint Operations, VOLs I and II* (17 March 2006)
JP 3-27, *Homeland Defense* (12 July 2007)
JP 3-28, *Civil Support* (14 September 2007)

Domestic JTF Commander Handbook

Domestic Operational Law (DOPLAW) Handbook for Judge Advocates,
Center for Law and Military Operations (CLAMO) (20 July 2009)⁹

State References: Since laws and state capabilities may differ from state to state, it is important to remember to research your state's references regarding this topic for more detailed information.

3.1 Chapter Overview

The complex and emerging threats of the 21st Century required the most robust reorganization of the Federal Government in half a century. The *National Strategy for Homeland Security*, the Homeland Security Act of 2002; and Homeland Security Presidential Directive - 5 (HSPD-5), *Management of Domestic Incidents*, support the United States Government's objective of taking a national approach to domestic incident management to ensure that all levels of government across the Nation have the capability to work efficiently and effectively together. In regards to domestic incidents, the United States Government now treats crisis management and consequence management as a single, integrated function, rather than as two separate functions.

The reorganization of the government created the DHS and assigned it the mission of coordinating Federal resources utilized in response to or recovery from terrorist attacks, major disasters, or other emergencies. The role of the Secretary of Homeland Security as the **Principal Federal Official (PFO)** for domestic incident management does not alter or impede the ability of federal, state, local or tribal agencies from carrying out their responsibilities under applicable laws. Figure 3-1 (below) gives an overview of the actors at various levels of coordination.

⁹ http://www.loc.gov/rr/frd/Military_Law/pdf/domestic-law-handbook-2009.pdf

Domestic JTF Commander Handbook

Figure 3-1: Comparison of United States Agency Organizational Structures

| COMPARISON OF UNITED STATES AGENCY ORGANIZATIONAL STRUCTURE | | | |
|---|---|--|---|
| | ARMED FORCES OF THE UNITED STATES | EXECUTIVE DEPARTMENTS & AGENCIES | STATE & LOCAL GOVERNMENT |
| STRATEGIC | Secretary of Defense Chairman of the Joint Chiefs of Staff Joint Chiefs of Staff Combatant Commander (1) | National Headquarters Department Secretaries Ambassador Embassy (3) | Governor |
| OPERATIONAL | Combatant Commander Commander, Joint Task Force (CJTF) (2) Defense Coordinating Officer/Defense Coordinating Element | Ambassador/ Embassy Liaisons (4) Federal Coordinating Officer or Principal Federal Official Regional Office | State Adjutant General State Coordinating Officer Officer of Emergency Services Department/Agency |
| TACTICAL | CJTF Components Service Functional | Ambassador/ Embassy Field Office US Agency for International Development (USAID)/ Office of Foreign Disaster Assistance (OFDA)/ Disaster Assistance Response Team (DART)/ Liaison (5) Response Team US Refugee Coordinator | National Guard County Commissioner Mayor/ Manager County City (e.g., Police Department) |

1. The combatant commander, within the context of unified action, may function at both the strategic and operational levels in coordinating the application of all instruments of national power with the actions of other military forces, United States Government (UEG) agencies, nongovernmental organizations (NGOs), regional organizations, intergovernmental organizations (IGOs), and corporations toward theater strategic objectives.
2. The CJTF, within the context of unified action, functions at both the operational and tactical levels in coordinating the application of all instruments of national power with the actions of other military forces, USG agencies, NGOs, regional organizations, IGOs, and corporations toward theater operational objectives.
3. The Ambassador and Embassy (which includes the country team) function at the strategic, operational and tactical levels and may support joint operation planning conducted by a combatant commander or CJTF.
4. Liaisons at the operational level may include the Foreign Policy Advisor assigned to the combatant commander by the Department of State, the Central Intelligence Agency liaison officer, or any other US agency representative assigned to the Joint Interagency Coordinating Group or otherwise assigned to the combatant commander's staff.
5. USAID's OFDA provides its rapidly deployable DART in response to international disasters. A DART provides specialists, trained in a variety of disaster relief skills, to assist US embassies and USAID missions with the management of USG response to disasters.

Domestic JTF Commander Handbook

In addition, HSPD-5 required the development and administration of the National Incident Management System (NIMS) and the National Response Framework (NRF). Collectively, these national-level plans eliminate critical seams and tie together a complete spectrum of incident management activities to include the prevention of, preparedness for, response to, and recovery from terrorism, major natural disasters, and other major emergencies.

The DOD has significant resources that may be available to support in response to an incident. The NG is a valuable military asset and possesses unique capabilities that may be requested during an incident. The process for requesting military support varies depending on whether forces are operating under State Active Duty (SAD), Title 32, or Title 10 status. Forces serving in SAD or Title 32 status are under State control. Both Title 10 and state controlled forces may be employed simultaneously for the same incidents requiring a coordinated Federal response. However, the process for requesting their support and their chain of command may differ depending on their status. Support from NG forces operating under Title 10 is requested through the DOD, while NG forces employed under Title 32 status or SAD provide support to the Governor of their state and are not part of Federal military response efforts.

As a potential federal or state responder, NG CDRs must be aware of the new, and ever evolving, HS coordination environment and those multi-agency coordinating mechanisms that enable them to respond quickly and efficiently when requested.

This chapter provides an overview of the Federal Domestic Incident Management Structure. Specifically, it will:

- Discuss Federal HS authorities;
- Describe certain Federal and state HS roles and responsibilities;
- Discuss the Federal Domestic Incident Management structure; and
- Discuss how both Title 10 and state controlled NG forces participate in Domestic Incident Management.

For additional reading, in Appendices 9.6 and 9.7, there are two real-life case studies concerning the 2004 G-8 Economic Summit and the 2004 Republican National Convention. Also included are facilitator's notes to provide the reader with key points that should be considered when working through the case study.

3.2 Homeland Security (HS) Authorities

Congress has provided the broad statutory authority necessary for DHS to conduct its mission of coordination of Federal resources, and the President has issued Executive Orders (EOs) and Presidential directives to supply authority and policy direction to departments and agencies of the Executive Branch. In addition, national-level guidance such as the NRF and the NIMS establish the coordinating structures and informational

Domestic JTF Commander Handbook

sharing mechanisms utilized by the Federal government. The principal HS authorities are the Homeland Security Act of 2002, HSPD-5, the Stafford Act, and the Economy Act.

3.2.1 Homeland Security Act of 2002

The Homeland Security Act of 2002 established DHS with the mandate and legal authority to protect the American people from the continuing threat of terrorism. In the act, Congress assigned DHS the primary missions to:

- Prevent terrorist attacks within the United States;
- Reduce the vulnerability of the United States to terrorism at home;
- Minimize the damage and assist in the recovery from terrorist attacks that occur; and
- Act as the focal point regarding natural and man-made crises and emergency planning.

The Homeland Security Act also vests the Secretary of Homeland Security with the broad authority necessary to fulfill the Department's statutory mission to protect the American homeland.

3.2.2 Homeland Security Presidential Directive - 5 (HSPD-5)

HSPD-5, *Management of Domestic Incidents*, establishes a single, comprehensive national incident management system for domestic incidents. The President designated the Secretary of Homeland Security as the PFO for domestic incident management and empowered the Secretary to coordinate federal resources used in response to or recovery from terrorist attacks, major disasters, or other emergencies in specific cases.

Figure 3-2: HSPD-5 Objectives

- ▶ **Single comprehensive national approach for Prevention, Preparedness, Response and Recovery**
- ▶ **Ensure all levels of government and private sector work together - horizontal and vertical integration**
- ▶ **Replace crisis and consequence management with "domestic incident management"**
- ▶ **DHS Secretary as the principal federal official for domestic incident management**

HSPD-5 assigns specific responsibilities to the Attorney General, SecDef, Secretary of State, and the Assistants to the President for Homeland Security and National Security Affairs. Additionally, the directive directs the heads of all Federal departments and agencies to provide their "full and prompt cooperation, resources, and support," as appropriate and consistent with their own responsibilities for protecting national security.

The directive also retracts the terms crisis and consequence management and replaces it with domestic incident management. Domestic incident management accounts for all HS actions taken across the spectrum of prevention, preparedness, response and recovery.

Domestic JTF Commander Handbook

3.2.3 The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act)

The **Stafford Act** created the system by which a Presidential disaster declaration of an emergency triggers financial and physical assistance. The **Act** establishes the programs and processes for requesting and obtaining a Presidential disaster declaration, defines the type and scope of assistance available from the Federal Government to provide disaster and emergency assistance to states, local governments, tribal nations, individuals, and qualified private nonprofit organizations. The provisions of the Stafford Act cover all hazards including natural disasters and terrorist events. Relevant provisions of the Stafford Act include a process for Governors to request Federal disaster and emergency assistance from the President, and the requirement that the President declare a disaster.

3.2.4 The Economy Act

The Economy Act authorizes Federal agencies to provide goods or services on a reimbursable basis to other Federal agencies when more specific statutory authority to do so does not exist. This is the funding mechanism that allows for Federal agencies to provide assistance to one another in absence of a Stafford Act declaration.

Figure 3-3: The Economy Act (31 U.S.C. § 1535)

- ▶ Authorizes federal agencies to provide supplies and services to each other
- ▶ Mandates cost-reimbursement
- ▶ For DoD this is full reimbursement to include pay and allowances

3.3 Domestic Incident Management Roles and Responsibilities

3.3.1 Secretary of Homeland Security

Pursuant to HSPD-5, the Secretary of Homeland Security is responsible for coordinating Federal operations within the United States to prepare for, respond to, and recover from terrorist attacks, major disasters, and other emergencies. HSPD-5 further designates the Secretary of Homeland Security as the PFO for domestic incident management. During actual or potential incidents, the overall coordination of Federal incident management activities is executed through the Secretary of Homeland Security. Other federal departments and agencies carry out their incident management and emergency response authorities and responsibilities within this overarching coordinating framework. While DHS is responsible for the overall coordination of domestic incident management, it does not have any directive authority over any other federal department or agency or state and local assets.

3.3.2 Principal Federal Official (PFO).

The PFO is the Federal official designated by the Secretary of Homeland Security to act as their representative locally to oversee, coordinate, and execute the Secretary's incident management responsibilities under HSPD-5. In certain scenarios, a PFO may

Domestic JTF Commander Handbook

be pre-designated by the Secretary of Homeland Security to facilitate Federal domestic incident planning and coordination at the local level outside the context of a specific threat or incident. A PFO also may be designated in a pre-incident mode for a specific geographic area based on threat and other considerations. PFO's typically are not "dualhatted" with any other roles or responsibilities that could detract from their overall incident management responsibilities. The Secretary may, in other than terrorism incidents, choose to combine the roles of the PFO and Federal Coordinating Officer (FCO) in a single individual to help ensure synchronized Federal coordination. In the event of an incident with no clear geographic boundaries (*e.g.*, a cyber incident), a national-level PFO may be designated to coordinate Federal response activities.

The specific roles and responsibilities of the PFO include, but are not limited to, the following:

- Representing the Secretary of Homeland Security as the lead federal official;
- Ensuring overall coordination of federal domestic incident management and resource allocation activities;
- Ensuring the seamless integration of federal activities in support of and in coordination with state, local, and tribal requirements;
- Facilitating interagency conflict resolution as necessary;
- Serving as a primary, although not exclusive, point of contact for federal interface with state, local, and tribal senior elected/appointed officials, the media, and the private sector;
- Providing real-time incident information to the Secretary of Homeland Security through the NOC and the Interagency (IAC), as required; and
- Coordinating the overall federal strategy locally to ensure consistency of federal interagency communications to the public.

3.3.3 Secretary of Defense (SecDef)

DOD has unique resources which may be requested to perform homeland security endeavors. The SecDef provides DSCA for domestic incidents as directed by the President or when consistent with military readiness and appropriate under the circumstances and the law. Whenever, performing CS functions, military assets are always in support of another entity. However, nothing impairs the authority of the SecDef over the DOD, including the chain of command for military forces from the President as Commander in Chief, to the SecDef, to the CDR of military forces, or military C2 procedures. The SecDef shall retain command of military forces providing CS. Military forces in Title 10, Title 32, and SAD status may be requested to provide CS to other entities. When operating in this role, military forces are always in support of the entity which has requested their service.

Domestic JTF Commander Handbook

3.3.4 State Role - Governor

HSPD-5 states that initial responsibility for managing domestic incidents generally falls on State and local authorities, pursuant with Title 32 authority. The federal government will assist state and local authorities when their resources are overwhelmed, or when federal interests are involved. The Secretary of Homeland Security will coordinate with state and local governments to ensure adequate planning, equipment, training, and exercise activities. The Secretary of Homeland Security will also provide assistance to state and local governments to develop all-hazards plans and capabilities, including those of greatest importance to the security of the United States, and will ensure that state, local, and federal plans are compatible.

The Governor is the Principal State Official responsible for incident management in the state and will do so through the adoption of NIMS. The Governor shall accomplish responsibilities in accordance with existing statutory authorities and through established organizations and structures set forth for these purposes. This designation in no way alters or impedes the authority of local officials, state agencies, private relief and business organizations, or federal agencies to perform responsibilities set forth by law.

3.4 Domestic Incident Management Plans

All incidents are handled at the lowest possible organizational and jurisdictional level. For those events that rise to a regional or national level, DHS provides operational and/or resource coordination for Federal support to on-scene incident command structures. Therefore, in order for all levels of government to effectively interact, HSPD-5 required the development of a NIMS and a NRF. Collectively, these two documents integrate the capabilities and resources of various governmental jurisdictions, emergency response disciplines, non-governmental organizations, and the private-sector into a cohesive and coordinated, national framework for domestic incident management.

3.4.1 National Incident Management System (NIMS)

The NIMS provides a core set of doctrine, concepts, terminology, and organizational processes to enable collaborative incident management at all levels of government. It provides a systematic, proactive approach guiding departments and agencies at all levels of government, the private sector, and nongovernmental organizations to work seamlessly to prepare for, prevent, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity, in order to reduce the loss of life, property, and harm to the environment. All Federal departments and agencies are required to adopt NIMS and use it in their domestic incident management activities as well as in support of all actions taken to assist state or local entities. States, local jurisdictions and tribal entities were also required to be NIMS compliant by FY 2006. All federal preparedness grants became contingent upon NIMS compliance starting in

Domestic JTF Commander Handbook

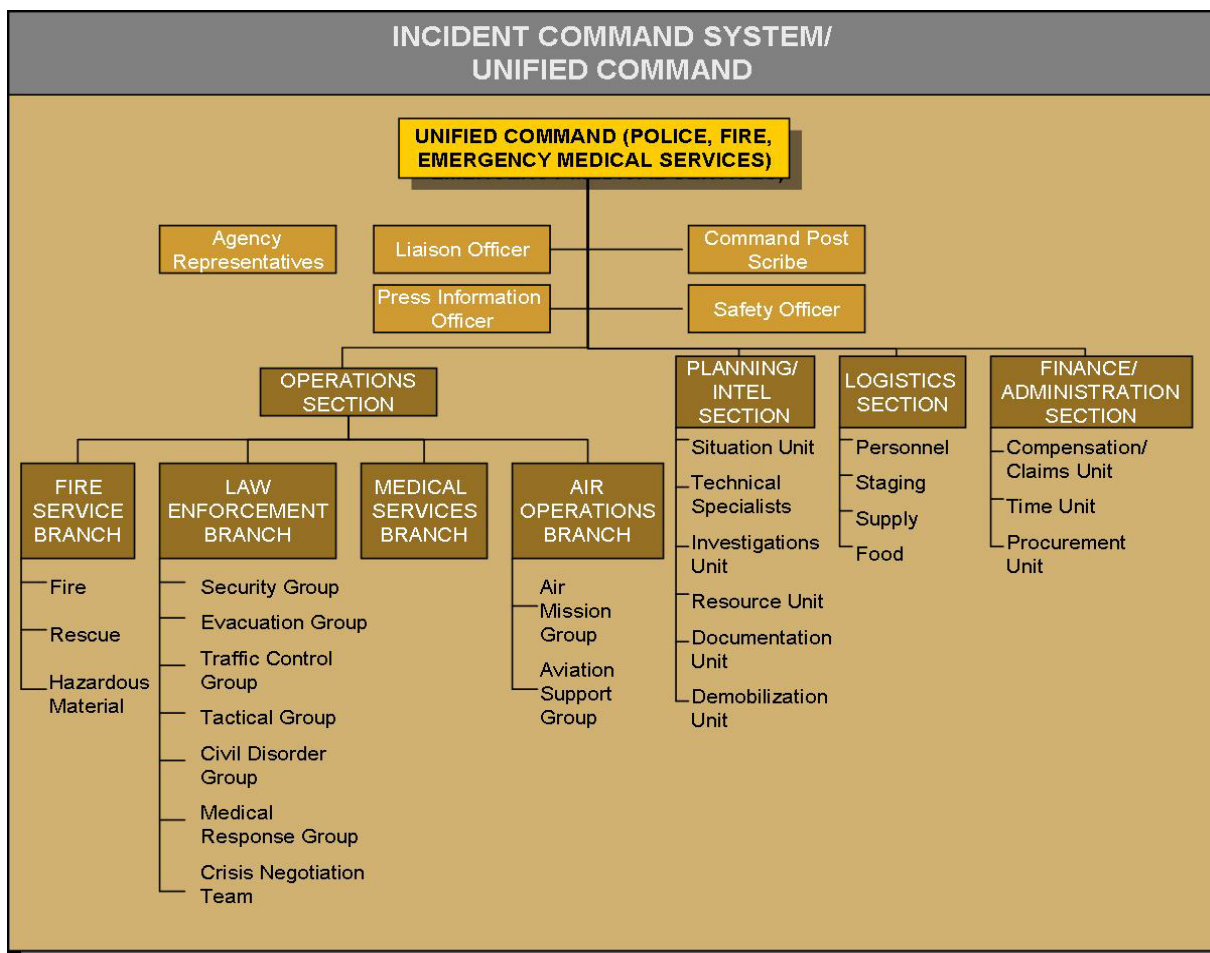
FY 2006. This includes preparedness grants from DHS along with all federal departments that award preparedness grants.

▪ Incident Command System (ICS)

The ICS is a principal tenet of the NIMS. It is a management system that is utilized by all levels of government for natural and manmade incidents. ICS is used by various jurisdictions and functional agencies, both public and private, for organized field-level incident management operations. It is the combination of facilities, equipment, personnel, procedures, and communications operating with a common organizational structure, designed to aid in the management of resources during incidents. ICS is used for all kinds of emergencies and is applicable to small as well as large and complex incidents.

ICS is normally structured to facilitate activities in five major functional areas: command, operations, planning, logistics, and finance and administration. (See Figure 3-4). Additionally, a potential sixth functional area to cover the intelligence function can be established for gathering and sharing incident related information and intelligence.

Figure 3-4: Incident Command Structure



Domestic JTF Commander Handbook

The Command Staff is responsible for the overall management of the incident. Any Federal, state or local resource brought in to assist the Incident Commander are in support of that person. The Secretary of Homeland Security utilizes multi-agency structures at the headquarters, regional, and field levels to coordinate efforts and provide appropriate support to the incident command structure.

Command is initially established by the highest-ranking official of the jurisdictional agency(ies) at the scene of the incident. When an incident occurs, a single Incident Commander should be designated with overall management responsibility by the appropriate jurisdictional authority. Transfer of Command at an incident may take place for the following reasons: a more qualified person assumes command; the incident situation changes over time to where a jurisdictional or agency change in command is legally required, or it makes good management sense to make a transfer of command; and normal turnover of personnel on long or extended incidents.

The Incident Commander is typically the most qualified person of the local entity that has primary jurisdiction over the incident or the person assigned by the jurisdiction's local entity. They are responsible for all incident activities, including the development of strategies and tactics (Incident Action Plan) and the ordering and release of resources. The Incident Commander has overall authority and responsibility for conducting incident operations and is responsible for the management of all incident operations at the incident site. If the Incident Commander requires additional support, requests are routed through the local and/or State Emergency Operations Center.

The Federal government does not have directive authority over local Incident Commanders. However, there are instances where the Federal government has the lead for the incident, such as an oil spill, the Incident Commander would be a federal entity. Unless directed by the Governor, or unless an incident occurs at a NG facility, a Domestic JTF Commander would not be an Incident Commander but would provide support to the designated person/entity.

ICS also establishes common terminology, standards, and procedures that enable diverse organizations to work together effectively. These include a standard set of pre-designated organizational elements and functions, common names for resources used to support incident operations, common "typing" of resources to reflect specific capabilities, and common identifiers for operational locations. Resource typing definitions enable emergency responders to request and receive the appropriate resources for their needs during an emergency or disaster, and help to make the resource request and dispatch process more accurate and efficient. Federal, state, territory, and local officials will use the 120 Resource Typing Definitions currently listed by the NIMS Integration Center to help them develop and update their inventories of response assets.

Domestic JTF Commander Handbook

▪ Unified Command

A unified command is established when there is more than one agency with incident jurisdiction or when incidents cross political jurisdictions. Agencies work together through the designated members of the Unified Command to establish their designated Incident Commanders at a single Incident Command Post and to establish a common set of objectives and strategies and a single Incident Action Plan. Concepts of “command” and “unity of command” have distinct legal and cultural meanings for military forces and operations. For military forces in Title 10 status, command runs from the President to the SecDef to the CDR to the CDR of the forces.

For military forces under SAD and Title 32 status, command runs from the Governor to a designated command arrangement. Depending on size and scope, an arrangement could include a JTF-State commander with subordinate CDRs of the forces deployed. Additionally, the “Unified Command” concept utilized by civil authorities is distinct from the military chain of command. It is essential for CJTFs to understand command, control and coordination concepts employed by civilian authorities. The NRF states that if a JTF is established, consistent with operational requirements, its C2 element will be located with the PFO at the Joint Field Office (JFO) to ensure coordination and unity of effort.

3.4.2 The National Response Framework (NRF)

The NRF is built on the template of the NIMS. Whereas NIMS provides a doctrinal framework, the NRF provides the structural framework and mechanisms for domestic incident management. Additionally, the NRF directs Federal authorities and responsibilities for domestic incident management. The NRF supersedes the National Response Plan (which previously superseded the Federal Response Plan, the U.S. Government Domestic Terrorism Concept Plan (CONPLAN), and the Federal Radiological Emergency Response Plan (FRERP)).

The activation of the NRF and its coordinating structures and protocols—either partially or fully—provides mechanisms for the coordination and implementation of a wide variety of incident management and emergency assistance activities. Included in these activities are:

- Federal support to state, local, and tribal authorities;
- Interaction with nongovernmental, private donor, and private-sector organizations; and
- Coordinated, direct exercise of federal authorities, when appropriate.

The NRF is also an essential element of the broader policy coordination and reconciliation mechanisms of the Federal Government. The operational and resource coordinating structures described in the NRF are designed to support existing White House policy mechanisms and decision-making entities during the response to a specific threat or incident. Also, while the NRF itself creates no new authorities, it serves to unify and enhance the incident management capabilities and resources of

Domestic JTF Commander Handbook

individual agencies and organizations acting under their own authorities in response to a wide array of potential threats and hazards.

The NRF is designed to support Stafford Act and non-Stafford Act declarations. The Stafford Act is enacted when the President declares an incident a major disaster or emergency. Evocation of the Stafford Act brings a high-level of monetary aid and federal authorities. There are specific criteria within the Stafford Act legislation as to what types of incidents the President can declare as a major disaster or emergency. Not all incidents result in disaster or emergency declarations under the Stafford Act. Non-Stafford Act incidents are those incidents which do not result in a Presidential declaration, but may still require federal resources and support.

3.4.3 Catastrophic Incident Supplement to the National Response Framework (NRF-CIS)

The NRF-CIS establishes a coordinated strategy for accelerating the delivery and application of Federal and Federally accessible resources and capabilities in support of a jurisdictional response to a catastrophic mass victim/mass evacuation incident. It offers a step-by-step process for assisting local areas affected by a catastrophic incident.

Immediately following an incident, the local authorities and first responders are typically first on the scene. They are responsible for establishing an ICS response and management structure (e.g., identify an Incident Commander, establish an inter-jurisdictional Unified Command and, if necessary, Area Command) as stated in the NIMS. The local authorities then initiate whatever response they are capable of taking with organic and inter-jurisdictional mutual aid resources.

The local authorities in conjunction with State government determine what critical support requirements cannot be met by local and State government and non-government resources or through mutual aid, and what will require support from the Federal Government.

State Response

The State response then takes effect prior to the Federal response. The State will activate its incident management/response support architecture and coordinate

Catastrophic Event:

Any natural or manmade incident, including terrorism, that results in extraordinary levels of mass casualties, damage, or destruction severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions. A catastrophic event could result in sustained national impacts of a prolonged period of time; almost immediately exceeds resources normally available to State, local, tribal, and private-sector authorities in the impacted area; and significantly interrupts governmental operations and emergency services to such an extent that national security could be threatened.

Domestic JTF Commander Handbook

through its ICS overseeing the response, the provision of additional resources to the extent that State capabilities permit. In addition, the State and local response operations will coordinate the overseeing of the response, and integrating the provision of additional resources from pre-identified Federal resources.

Federal Response

In the event of a catastrophic incident, it is assumed that the President will issue a Presidential disaster declaration. The federal response will then follow the following acts:

- Stafford Act
- NRF
- NIMS
- HSPD-5
- HSPD-10
- Homeland Security Act of 2002
- National Preparedness for Bioterrorism and other Public Health Emergencies (42 U.S.C. Sections 300hh and 300hh-11)

Under the NRF and NIMS, the typical protocol is for the State to identify specific Federal support requirements and request a Presidential major disaster or emergency declaration. Under the NRF-CIS, immediately upon recognition that a domestic jurisdiction or region has suffered or is likely to suffer a catastrophic mass victim/mass evacuation incident, the Secretary of Homeland Security will direct implementation of the NRF-CIS.

The federal response would include designating and deploying a PFO, a standard process under the NRF. A FCO (discussed in the next section) is designated and deployed and activates an Incident Management Assistance Team (IMAT). These groups will coordinate Federal support, though the state and incident command structure, to local authorities. The federal response will also include rapidly establishing necessary support facilities (Federal Mobilization Centers, JFOs, etc.) within proximity to the incident venue, and incident specific resources and capabilities (*e.g.*, pharmaceutical caches, search and rescue teams, medical teams and equipment, shelters, etc.).

The Federal response would also include activating:

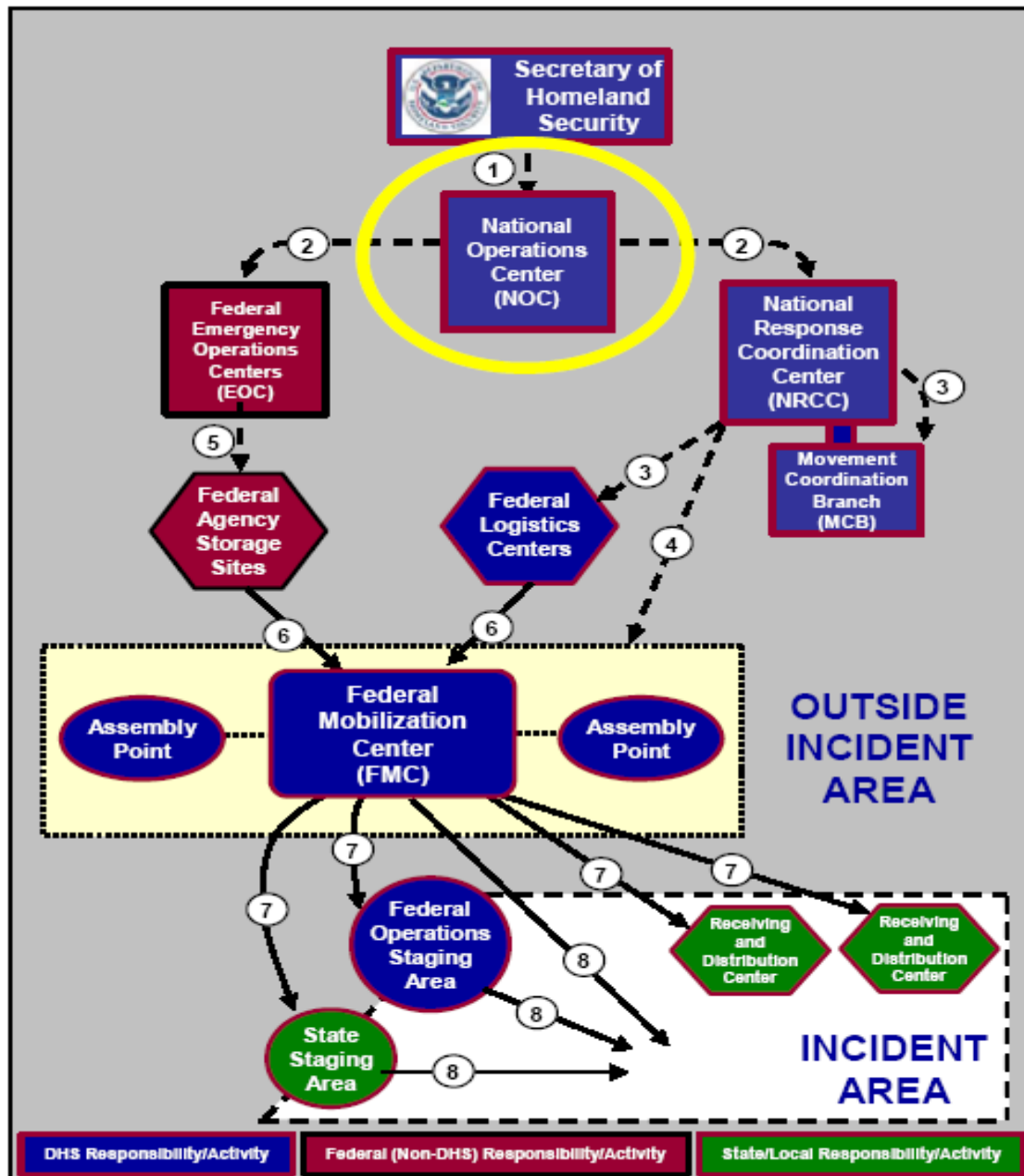
- National and regional-level operations centers and field support centers
- Reserve personnel to augment and support organize state/local response capabilities
- Federal facilities (*e.g.*, hospitals) to receive and treat casualties from the incident area

Domestic JTF Commander Handbook

- Public communications in the event the state/local infrastructure is incapable of issuing guidance pertaining to timely incident information, warning, and other guidance
- Supplementary support agreements with the private sector

Figure 3-5 and the following table provide a high-level overview of the Federal Response and Resource Flow and CONOPS.

Figure 3-5: NRF-CIS Resource Flow Concept of Operations



Domestic JTF Commander Handbook

| NRF-CIS Resource Flow CONOPS | |
|------------------------------|---|
| 1 | DHS Secretary designates a Catastrophic Incident and notifies NOC. |
| 2 | NOC notifies NOC-NRCC and federal EOCs of NRF-CIS implementation and I-Hour. |
| 3 | NOC NRCC activates MCB |
| 4 | NOC-NRCC designates FMC and dispatches FMC management team. |
| 5 | NOC-NRCC and Federal EOCs direct Federal Agency Storage Sites and Federal Logistics Centers to implement NRF-CIS Execution Schedule |
| 6 | Federal Agency Storage Sites and Federal Logistics Centers deploy resources to FMC, unless directed otherwise by the NOC-NRCC. |
| 7 | Commodities are sent from the FMC to Federal Incident Staging Base, State Staging Areas, or Local Receiving and Distribution Centers, as directed by the RRCC. |
| 8 | Resources (commodities, teams, equipment, personnel) are sent from the FMC and Staging Areas into the incident area in support of state/local incident command authorities. |

The federal execution strategy summarizing the process and order for activation and implementation of federal resources is outlined in Appendix 19.11.

3.4.4 Field Level Coordination Structures.

At the regional level, interagency coordination is conducted during steady-state activities and during incident management. During both instances, DOD or NG representatives may be involved with some of the multiagency entities.

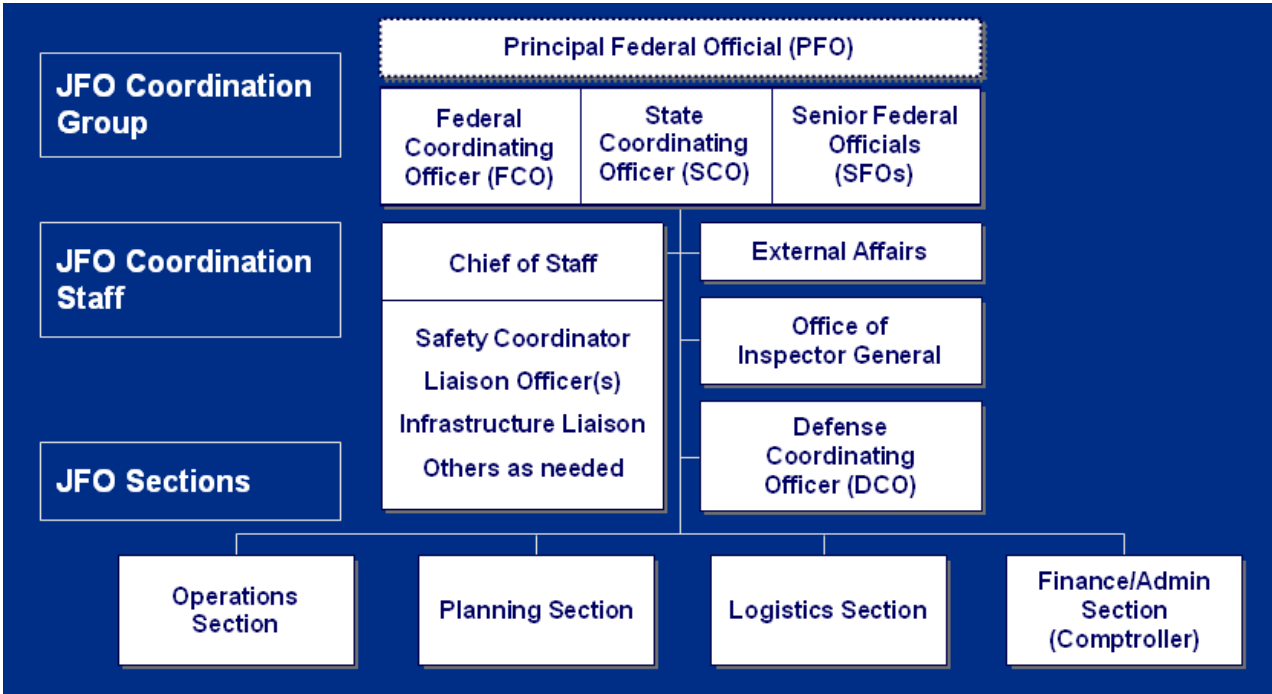
Regional Response Coordination Center (RRCC). The RRCC is a standing facility operated by DHS/FEMA that is activated to coordinate regional response efforts, establish federal priorities, and implement local federal program support until a JFO is established in the field and/or the PFO, FCO, or Federal Resource Coordinator can assume their NRF coordination responsibilities. The RRCC establishes communications with the affected state emergency management agency and the NRCC, coordinates deployment of the IMAT to field locations, assesses damage information, develops situation reports, and issues initial mission assignments.

The RRCC is activated based on the level of response required. It is led by an RRCC Director and includes DHS/FEMA staff and regional Emergency Support Function (ESF) representatives. The RRCC may also include a DOD Regional Emergency Preparedness Liaison Officer (REPLO) who assists in coordination of requests for defense support. Financial management activity at the RRCC is monitored and

reported by the Comptroller. (The RRCC replaces the Regional Operations Center (ROC) in the Federal Response Plan.)

Joint Field Office (JFO). The JFO is a temporary federal organization established locally to provide a central point for federal, state, local, and tribal representatives with responsibility for incident support and coordination. The JFO is scalable and tailored to the specific incident. If a JTF is established, consistent with requirements, its C2 element will be collocated with the PFO at the JFO to ensure coordination and unity of effort. Figure 3-6 is a sample JFO organizational structure for a natural disaster, but it can be modified depending on the nature and magnitude of the incident.

Figure 3-6: Sample JFO Structure for Natural Disasters



The JFO fully replaces the Disaster Field Office (DFO), and accommodates all entities (or their designated representatives) essential to incident management, information-sharing, and the delivery of disaster assistance and other support. Whenever possible, a U.S. Secret Service Multiagency Coordinating Center and/or an FBI Joint Operations Center would co-locate in the JFO.

If a PFO has been appointed, they will oversee the JFO Unified Coordination Group. If a PFO has not been designated, then the FCO/Federal Resource Coordinator would provide the federal government lead.

Federal Coordinating Officer (FCO). The FCO manages and coordinates Federal resource support activities related to Stafford Act disasters and emergencies. The FCO assists the Unified Command and/or the Area Command. The FCO works closely with the PFO, the Senior Federal Law Enforcement Official (SFLEO), and other Senior

Domestic JTF Commander Handbook

Federal Officials (SFOs). In Stafford Act situations where a PFO has not been assigned, the FCO provides overall coordination for the Federal components of the JFO and works in partnership with the State Coordinating Officer (SCO) to determine and satisfy State and local assistance requirements. During national and geographically widespread incidents such as a catastrophic hurricane impacting several adjacent states, the Secretary may, in other than terrorism incidents, choose to combine the roles of the PFO and FCO in a single individual to help ensure synchronized Federal coordination. In instances where the PFO has also been assigned the role of the FCO, deputy FCOs for the affected States will support the PFO/FCO.

Federal Resource Coordinator (FRC). In non-Stafford Act situations when a Federal department or agency acting under its own authority has requested the assistance of the Secretary of Homeland Security to obtain support from other Federal departments and agencies, DHS designates an FRC instead of an FCO. In these situations, the FRC coordinates support through interagency agreements and MOAs.

Senior Federal Law Enforcement Official (SFLEO). The SFLEO is the senior law enforcement official from the agency with primary jurisdictional responsibility as directed by statute, Presidential directive, existing Federal policies, and/or the Attorney General. The SFLEO directs intelligence/investigative law enforcement operations related to the incident and supports the law enforcement component of the Unified Command on scene. In the event of a terrorist incident, this official will normally be the FBI SAC.

State Coordinating Officer (SCO). The SCO acts as the counterpart to the FCO for the Governor and the state. The SCO will be assigning missions to the state and local agencies. In addition, the SCO manages the state incident management programs and activities.

Other Senior Officials. Based on the scope and nature of an incident, senior officials from other Federal departments and agencies, State, tribal, or local governments, the private sector or NGOs may participate in the Unified Coordination Group.

Defense Coordinating Officer (DCO). The DOD DCO serves as the DOD's single point of contact at the JFO. The DCO coordinates and processes requests for DSCA. The DCO has a Defense Coordinating Element (DCE) consisting of a staff and military liaison officers in order to facilitate coordination and support to activated ESFs.

3.5 Military Forces Supporting Homeland Security (HS)

3.5.1 Defense Support of Civil Authorities (DSCA)

DSCA refers to DOD support provided by federal military forces, DOD civilians and contract personnel, and DOD agencies and components, in response to requests for assistance during domestic incidents to include terrorist threats or attacks, major disasters, and other emergencies. DOD serves as a support agency to all ESFs and is a cooperating agency for the majority of incident and support annexes.

Domestic JTF Commander Handbook

DSCA normally is provided when local, state, and federal resources are overwhelmed, provided that it does not interfere with the Department's military readiness or operations. It is only applicable to Title 10 forces.

Requests for DSCA originating at the JFO will be coordinated and processed through the DCO with the exception of requests for U.S. Army Corps of Engineers support, NG forces operating in SAD or Title 32 status, or, in some circumstances, DOD forces in support of the FBI. Capabilities, not assets, should be the manner in which requests for DSCA are made. It is inevitably up to the force provider and supported CDR as to which DOD asset will be supplied.

Based on the magnitude, type of disaster, and anticipated level of resource involvement, the supported CDR may utilize a JTF to consolidate and manage supporting military activities. A Dual Status JTF Commander exercises OPCON of all attached DOD resources (excluding USACE resources, and, in some circumstances, DOD forces in support of the FBI).

Examples of DSCA may include, but are not limited to: law enforcement assistance; critical infrastructure protection; military transportation assets; the coordinating agency for incidents that occur at facilities or vessels under DOD jurisdiction, custody, or control; mass care requirements; and medical equipment and supplies.

3.5.2 National Guard Support

The Governor, or in the case of the District of Columbia, the Secretary of the Army: provides C2 links for all NG forces in the state or territory. NG forces employ under SAD or Title 32 status for the purpose of providing support to the Governor of their state and are not part of federal military response efforts. They can be used to provide support to civil authorities, support to law enforcement, and to respond to state emergencies.

Figure 3-7: Defense Support of Civil Authorities

- ▶ **DSCA refers to DoD support provided by Federal military forces, DoD civilians and contract personnel, and DoD agencies and components, in response to requests for assistance during domestic incidents to include terrorist threats or attacks, major disasters, and other emergencies.**
- ▶ **Defense Support of Civil Authorities is a Joint or single service mission conducted in an Interagency Environment.**
- ▶ **DoD is in support of the primary agency coordinating the effort.**
- ▶ **The Secretary of Defense retains command of military forces providing civil support.**

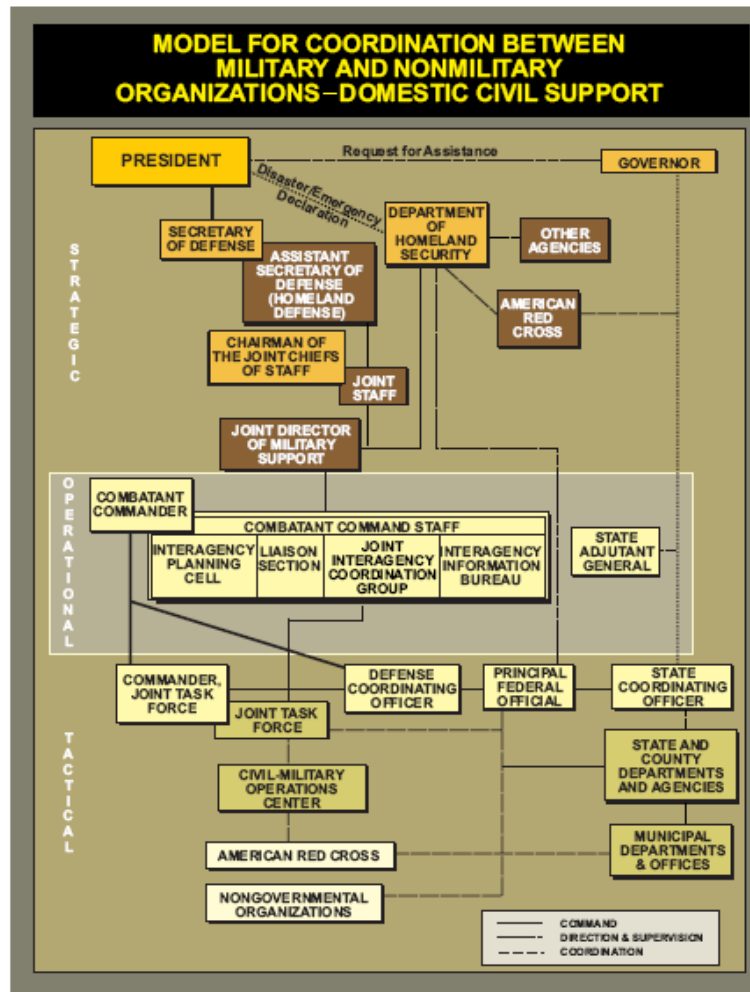
Domestic JTF Commander Handbook

Figure 3-8 shows the model for coordination between military and nonmilitary organizations. Some likely missions for the NG include: C2 for guard forces in the state, participate in one or more JTFs, provide law enforcement support as needed according to state laws and regulations, deploy units consisting of multiple capabilities tailored to the situation, and use JCCSE to provide situational awareness COPs for national headquarters and to the extent the information sharing environment to the deployed JTF-State and on to the incident site. Following are some specific capabilities:

- Leverage JCCSE C3 capabilities and services to provide situational awareness/common operating picture information to national level headquarters daily or as requested, before, during and after contingency operations
- Responsible for fielding one or more JTF command elements that can assume tactical control of military units which are ordered to respond to a contingency operation
- Mobilizes and deploys additional state units requested by the JTF-Commander and, in coordination with Governor, requests other support as required
- Provides Joint Reception, Staging, Onward Movement, and Integration (JRSOI) of inbound forces
- As required, and if called into active federal service, serve under C2 headquarters designated by USNORTHCOM/USPACOM

Except for the District of Columbia, the Governors of each state are the CDRs in Chief of their NG and exercise command through their TAGs. The District of Columbia NG has a unique mission. As the only NG organization not under the control of a Governor,

Figure 3-8: Model for Coordination Between Military-Nonmilitary Organizations - Domestic Civil Support



Domestic JTF Commander Handbook

only the President can activate them during natural and civil emergencies. In some states, TAGs are dual status as the State Homeland Security Advisor and/or the Director of the State Emergency Management Agency. In addition, the Joint Force Headquarters National Capitol Region (JFHQ-NCR) is responsible for land-based HD, DSCA, and incident management in the national capital region. JFHQ-NCR is responsible for protecting the District of Columbia and the contiguous counties and cities of Maryland and Virginia, as well as Loudon, Fairfax and Prince William counties in Virginia.

When serving in SAD status, NG assets deploy in accordance with state law. In addition, pursuant to regional mutual assistance compacts or if an Emergency Management Assistance Compact (EMAC) has been enacted by the requesting state and by the supported state, NG resources may support efforts in another state. Coordination of NG support while in SAD status is conducted through the State EOC and missions are assigned by the SCO. If supporting an incident while remaining in Title 32 status, information sharing is conducted through established mechanisms between the State EOC and the JFO.

When federalized, NG assets become part of the supported CDR's chain of command.

3.5.2.1 Weapons of Mass Destruction Civil Support Teams (WMD-CSTs)

NG WMD-CSTs can deploy at the request of the Governor to assist a local Incident Commander in determining the nature and extent of an attack, incident, or natural disaster; provide expert technical advice on WMD response operations; and help identify and support the arrival of follow-on response assets. They are joint units and, as such, can consist of both ARNG and ANG personnel. These NG teams provide unique expertise and capabilities to assist state Governors in preparing for and responding to intentional or unintentional releases of chemical, biological, radiological or nuclear (CBRN) or manmade or natural disaster incidents that could result in catastrophic loss of life or property damage as part of a state's emergency response structure. Each team consists of 22 highly skilled, fulltime NG members who are federally resourced, trained, and exercised, and employs federally approved CBRN response doctrine.

3.5.2.2 CBRNE Enhanced Response Force Package (CERFP) (See paragraph 19.16.6 for a detailed description of CERFP.)

3.5.2.3 Fatality Search & Recovery Team (FSRT)

FSRT is an ANG response team that is activated in response to mass fatality operations and/or CBRNE incidents that may require support to local, state or federal agencies. The FSRT is not only associated with natural or man-made disasters, but may include military aircraft mishaps and military mass casualty operations. The FSRT is a follow-on capability to the NG CBRNE Enhanced Response Force Package (CERFP). FSRT capabilities deliver fatality management to include recovery and transportation of

Domestic JTF Commander Handbook

fatalities to designated casualty collection points for further processing (i.e., identification, decontamination, etc.) by civilian and/or military personnel. Currently there are ten FSRTs, one per FEMA region. FSRT is capable of responding in SAD, Title 32, or Title 10 status for HD/CS.

3.5.2.4 Services Command and Control JFHQ-Team

ANG Services Command & Control (SV/C2) staff augmentation teams are assigned to each FEMA Region at a JFHQ's to facilitate Services operational support through State JoCC's or JTF-CC. The SV/C2 team consists of Drill Status Guardsman that are permanently assigned to the JFHQ-S and serves as the focal point for the Governor, State JoCC, and JTF-CC for crisis management planning and coordination of ANG Services core capabilities of Fatality Management, Food Service, Beddown and Water requirements. The RH team is the primary FSRT action agent within each FEMA Region and has the responsibility to plan, coordinate and monitor State Plans within their FEMA Region. It reports through the State JoCC's any Fatality/Mortuary, Food Service, Beddown and Water requirements for all Joint Operations in each FEMA Region. Services Staff Augmentation UTC is capable of responding in SAD, Title 32 or Title 10 status for HD/CS.

3.5.2.5 Services Lead Beddown Team (ANG UTC: LWRRA)

The Services Lead Beddown Team is comprised of an ANG 9-member team with capability to provide food service, water and lodging/billeting requirements for 275 personnel for up to 10 days. Sustainment beyond 10 days require additional force posturing. Teams deploy with Single Pallet Expeditionary Kitchen (SPEK) capable of providing Unitized Group Rations (UGR) within 4 hours of deployment. Lodging/billeting equipment package must be tasked separately. Units are assigned to ANG Wings within each state and are capable of responding in SAD, Title 32 or Title 10 status for HD/CS.

3.5.3 Department of Defense (DOD) Request for Federal Support

While DOD is in support of other federal agencies for CS, there may be instances where DOD requires the assistance from other federal agencies.

Memorandums of Agreement (MOAs). Federal agencies, including DOD, and state agencies, including NG units, participate in MOAs with other entities to provide mutual support in certain incidents. For example, DOD has a long-standing MOA with the National Interagency Fire Center in Boise, Idaho, to provide wildland firefighting support. Neither the NRF needs to be activated nor DHS involved when federal agencies are providing such support under their existing authorities. For states, support may be provided through regional mutual assistance compacts or, as noted above, by EMACs enacted by the requesting state and by the supported state. It should be noted that EMACs do not authorize law enforcement in another state; there must be a separate MOA.

Domestic JTF Commander Handbook

Federal-to-Federal Support within NRF. A mechanism within the NRF allows for a federal department or agency to request federal resource support that is not addressed by the Stafford Act or other mechanisms. Therefore, for incidents where DOD has jurisdiction, such as on a military installation, if additional federal support is required, DOD may go to DHS to request assistance. In this circumstance, DOD would then serve as the Incident Commander, but DHS would still serve as the coordinator of federal resources brought in to assist DOD.

Federal agencies participating in the NRF will request and provide Federal-to-Federal support by executing interagency or intra-agency reimbursable agreements (RAs), in accordance with the Economy Act (31 U.S.C. § 1535) or other applicable authorities. Federal agencies providing mutual aid support may request reimbursement from the requesting agency for eligible expenditures. (See Financial Management Support Annex in Chapter 7, Memorandum of Understanding: Mutual Aid for Non-Stafford Act Incidents, for additional information.)

3.5.4 Other Actors

The following is a brief summary of other interagency groups that the CJTF may be involved with.

Salvation Army – The Stafford Act specifically names The Salvation Army as a relief and disaster assistance organization. In order to assist in disasters, the Salvation Army must ensure the following is in place:

- The Salvation Army has an established right to provide disaster relief services. That right is recognized by public law and through signed Memorandums of Understanding and Agreements (MOAs) with government agencies and other voluntary organizations.
- The Salvation Army's disaster relief services are supported solely by donations.
- The Salvation Army is not a first responder; rather, it supports first responders.
- The Salvation Army is a mass-care support agency.

The Salvation Army provides numerous disaster relief services. In a disaster, The Salvation Army has the ability to provide both immediate emergency assistance and long-term recovery help. Emergency response services are activated on short notice according to an agreed-upon notification procedure, while long-term recovery is strategically planned in response to the situation, through working and partnering with many other community entities.

Even with the ability to be flexible and to respond based upon the community's situation, there are several basic services that The Salvation Army offers in most major disasters. These services include:

- **Food Service** - Delivery of meals and drinks to disaster victims and emergency workers.
- **Hydration Service** - Provides beverages to affected people and service providers.

Domestic JTF Commander Handbook

- **Emergency Shelter** - When necessary, The Salvation Army provides shelter in a facility identified by the local emergency management personnel.
- **Cleanup and Restoration** - Distribution of cleanup supplies such as mops, brooms, buckets, shovels, detergents, and tarps, coordination of volunteer rebuilding teams, and set up of warehouses to distribute reconstruction supplies such as lumber and sheetrock.
- **Donations Management** - Coordination of the management and flow of offers from the public so that needed goods and services are received in an effective and timely manner and unneeded goods and services are kept out of the disaster area.
- **Disaster Social Services** - Essential living supplies, such as food, clothing, medicine, bedding, or baby products, emergency housing needs, disaster-related medical or funeral expenses
- **Emergency Communications (Salvation Army Team Emergency Radio Network (SATERN))** - The Salvation Army helps provide emergency communications when more traditional networks, such as telephones, are not operating.

The American Red Cross - The Red Cross is a humanitarian organization led by volunteers, who provide relief to victims of disasters and help people prevent, prepare for, and respond to emergencies. The Red Cross functions independently of the government but works closely with government agencies, such as FEMA, during times of major crises. It is responsible for giving aid to members of the U.S. Armed Forces and to disaster victims at home and abroad.

FEMA - FEMA's purpose is to coordinate the response to a disaster and which overwhelms the resources of local and state authorities. While on-the-ground support of disaster recovery efforts is a major part of FEMA's charter, the agency provides state and local governments with experts in specialized fields and funding for rebuilding efforts and relief funds for individual citizens and infrastructure, in conjunction with the Small Business Administration (SBA) FEMA also assists individuals and businesses with low interest loans. FEMA also provides funds for training of response personnel throughout the United States and its territories as part of the agency's preparedness effort.

National Oceanic and Atmospheric Administration (NOAA) - NOAA provides accurate, timely, and relevant scientific data, information, products, services and advice to organizations charged with responding to and mitigating the consequences of natural and human-induced disasters. In addition, they provide on-site 24/7 meteorological support to incident CDRs and first responders involved in natural and manmade hazardous incidents to ensure the safety of personnel and the affected public, and mitigation of threats to nearby infrastructure. They also detect and locate aviators, mariners and land-based users in distress.

Domestic JTF Commander Handbook

Environmental Protection Agency (EPA) - The EPA's mission is to protect human health and the environment. During emergencies, the EPA ensures that emergency responders are able to deal with multiple, large-scale emergencies, including those that may involve chemicals, oil, biological agents, radiation, or weapons of mass destruction. In the event that a chemical emergency does occur, protecting federal, state, and local first responders and on-site personnel is critical. EPA provides emergency personnel with information they need to take necessary precautions and treat individuals who may be on the scene.

Currently, in support of HS, EPA is supporting the Federal counter-terrorism program by:

- helping State and local responders to plan for emergencies;
- coordinating with key Federal Partners;
- training first responders; and
- providing resources in the event of a terrorist incident.

Army Corps of Engineers - The Army Corps of Engineers provides responsive engineering services to the nation including:

- Planning, designing, building and operating water resources and other civil works projects (Navigation, Flood Control, Environmental Protection, Disaster Response, etc.)
- Designing and managing the construction of military facilities for the Army and Air Force. (Military Construction)
- Providing design and construction management support for other Defense and federal agencies. (Interagency and International Services)

United States Coast Guard (USCG) - The Coast Guard is involved in maritime law, mariner assistance, and search and rescue. Its stated mission is to protect the public, the environment, and the United States economic and security interests in any maritime region in which those interests may be at risk, including international waters and America's coasts, ports, and inland waterways. The Coast Guard has a broad role in homeland security, law enforcement, search and rescue, marine environmental pollution response, and the maintenance of river, intracoastal and offshore aids to navigation (ATON). The Coast Guard's authority to enforce statutory law is unique among the Military Services.

Domestic JTF Commander Handbook

3.6 Legal Implications of Title 10/32 Command Authority - Section Overview

References: EO 12333, *U.S. Intelligence Activities* (4 December 1981)
Domestic Operational Law (DOPLAW) Handbook for Judge Advocates,
Center for Law and Military Operations (CLAMO) (20 July 2009)¹⁰
DODD 5210.56, *Use of Deadly Force and the Carrying of Firearms by DOD
Personnel Engaged in Law Enforcement and Security Duties* (1 November
2001 (incorporating change 1 (24 January 24))
DODD 5240.01, *DOD Intelligence Activities* (27 August 2007)
JP 3-27, *Homeland Defense* (12 July 2007)
JP 3-28, *Civil Support* (14 September 2007)

State References: Since laws and state capabilities may differ from state to state, it is important to remember to research your state's references regarding this topic for more detailed information.

A Dual Status JTF Commander, tasked to lead a blended unit comprised of SAD, Title 32 forces and Title 10 federal forces, faces a complex legal landscape because his forces serve under different legal authorities and are subject to different chains of command. Because of the complexity of these issues, a Dual Status Commander JTF requires a robust legal staff directly supporting him, along with an extended reach-back capability to the USNORTHCOM Staff Judge Advocate and the JCS legal team. The Dual Status JTF Commander must also have access to the state legal advisors. This chapter is designed to provide a basic understanding of the legal issues involved, although it cannot address specific legal issues that may arise during an assignment as a Dual Status JTF Commander. For this, a CDR will require the counsel of their legal staff.

The various legal statuses of the forces under a Dual Status JTF Commander's control will be discussed below. The legal status of the forces under the Dual Status JTF Commander establishes the context within which the forces may operate and be disciplined.

3.7 Personnel Generally Serve in one of Three Legal Statuses

3.7.1 State Active Duty (SAD)

Only the NG has a status entitled SAD; such duty is performed pursuant to state constitutions and statutes. In a SAD status, NG personnel are controlled by their individual state, subject to the C2 of the respective Governor and TAG. NG units perform duties authorized by state law, such as responding to emergencies or natural disasters (floods, hurricanes, fires), and are paid with state funds. Because NG units are subject to state control unless "federalized," they generally respond to local emergencies,

¹⁰ http://www.loc.gov/rr/frd/Military_Law/pdf/domestic-law-handbook-2009.pdf

Domestic JTF Commander Handbook

such as civil disturbances, before active forces. For these types of operations, the Governor will ordinarily proclaim an emergency and order a unit or units to SAD. DOD funds are not obligated for any personnel or units performing SAD. However, if the President declares an emergency after a request by a Governor under the Stafford Act, the state military department may be reimbursed through the Federal Emergency Management Agency (FEMA) for the SAD pay and allowances it has expended.

3.7.2 Title 32

When performing duty pursuant to Title 32, U.S. Code, a NG member is under the C2 of the state but paid with federal funds. The operations of NG units in Title 32 status are controlled by the individual states, supplemented by funding from federal sources pursuant to federal regulations.

- **Operational Missions** - Although there are many instances of the NG performing operations in a Title 32 status (*e.g.*, airport security duty, border patrol support), generally speaking they require specific authority or authorization. Nevertheless, the performance of many HS missions in a Title 32 versus 10 status may be preferable because: the Posse Comitatus Act (PCA) does not apply; NG troops may be able to respond more rapidly because they are in the local area; NG troops may have more situational awareness in domestic areas than their active duty counterparts; or when Title 10 activation might result in NG loss of control over a state manpower pool depriving them of flexibility. Furthermore, HS missions can enhance NG training by “training by doing.”
- **Funding** - Thus, NG personnel in a Title 32 status are not authorized to provide DSCA, such as disaster assistance, unless such missions receive funding and authority or meets the imminent danger criteria. NG members should be in a SAD status (funded by the state) to perform those functions. If the TAG approves such services to the Governor when NG troops are in a Title 32 status, the state may be required to reimburse the federal government for the inappropriate use of Federal pay and allowances for these personnel. Under the EMAC, funding is done through state-to-state reimbursement.

3.7.3 Title 10

The terms “Air National Guard of the United States” (ANGUS) and “Army National Guard of the United States” (ARNGUS) refer to the NG as a reserve force or component of their respective service. The term “federal service” is applied to NG members and units when called to active duty to serve the federal government. The terms “Air National Guard” (ANG) and “Army National Guard” (ARNG) refer to the federally recognized (and usually federally trained under Title 32, U.S. Code) organized militia of the various states.

- **Determining Status** - Determining whether NG members are in the status of ARNGUS/ ANGUS or the status of ARNG/ ANG is critical to defining their roles and responsibilities. Status is also the primary factor for determining the

Domestic JTF Commander Handbook

applicability of law for such issues as benefits, protections, and liabilities. For instance, NG members only become subject to the Uniform Code of Military Justice (UCMJ) when federalized; while in a state status they are subject to their respective state codes of military justice. Additionally, some laws, such as the PCA only apply to the NG when they are in a Title 10 status, *i.e.*, members of the ARNGUS/ANGUS, but not when they are on SAD or Title 32 orders, which are statuses under state C2.

- **Recent Change in the Law** - NG members are temporarily relieved of their state commissions (and membership in the state NG) when on federal active duty as a member of the ARNGUS/ANGUS under 32 U.S.C. § 325. The National Defense Appropriations Act for Fiscal Year 2004 amended 32 U.S.C. § 325 to allow federally activated CDRs of NG units to retain their state commissions with the authority of President and the consent of the Governor. Guard personnel in Title 10 and Title 32 status receive federal pay. It is important to remember that the determination of whether the NG is in federal or state service does not rest on the entity that funds the activity, but rather which entity has C2.

Figure 3-9 provides a summary of the key differences among SAD, Title 32, and Title 10 status.

Figure 3-9: National Guard Duty Status

| <i>National Guard Duty Status</i> | | | |
|-----------------------------------|--|----------------------------------|-----------------------|
| | <i>State Active Duty</i> | <i>Title 32</i> | <i>Title 10</i> |
| C2 | Governor | Governor | President |
| Where | IAW State Law | CONUS | Worldwide |
| Pay | State | Federal | Federal |
| Mission types | IAW State Law (Riot control, Emergency Response, etc.) | IDT, AT, & other federally auth. | Full Time Active Duty |
| Discipline | State Military Code | State Military Code | UCMJ |
| PCA applies | No | No | Yes |

Coordination in Action: Florida Hurricane Season 2004

During the 2004 hurricane season in Florida, the Florida National Guard (FLNG) had worked with various organizations to ensure the morale and livelihood of the troops was not hindered more than absolutely necessary. There were many items that do not follow the traditional requirements of a CJTF, but as a good Commander you should be aware of these types of items.

The FLNG Family Readiness was actively engaged in supporting and servicing the families of the Army and the Air Guard members during all of the Hurricane Operations. The State Family Readiness Director and a team of volunteers staffed ten area Family Readiness Centers located throughout the state. The centers were available around the clock to provide assistance in helping families with military issues, providing information on the various agencies that could assist those who incurred hurricane damage or other needs as identified.

The Family Readiness Director also coordinated with the Army Corps of Engineers who sponsored the "Operation Blue Roof" mission. This operation provided temporary blue roof covering for Soldiers and Airmen whose homes sustained roof damage. In addition, the Family Readiness received gift certificates from Winn Dixie Corporation. These gift certificates were given to families of Soldiers and Airmen whose homes incurred hurricane damage.

The FLNG experienced a first in managing the many Soldiers and Airmen who were college students, and were now serving on SAD at the beginning of their school year. In order to ensure those students would not incur any academic penalties, the FLNG State Judge Advocate coordinated with the Governor's Office in developing a letter to all of Florida's public colleges and universities. It directed that students returning to school after SAD would not suffer any academic or financial detriment in pursuit of their postsecondary education.

To allow those in Florida serving on SAD to cast their vote or register their vote, the Governor allowed them to cast their absentee vote via electronic transmission for the Primary (local) Elections. Voter information was also provided to troops of other states who were supporting the hurricane operation.

3.8 Additional Relevant Authorities

DODD 3025.18 constitutes guidance for the DOD community, including OSD, the Military Departments, the CJCS, the COCOMs, and the Defense Agencies, down to the CDR, in providing DSCA. DODD 3025.18 addresses NG personnel when under Federal command and control, or when SecDef has authorized NG personnel in Title 32 status, in support of local and/or state civil agencies approved by the Governor. NG personnel are not under Federal command and control when in SAD status.

Domestic JTF Commander Handbook

3.8.1 DODD 3025.18 Defense Support of Civil Authorities (DSCA)

DODD 3025.18 *Defense Support to Civil Authorities (MSCA)* and DOD 3025.1-M *Manual for Civil Emergencies* are the primary sources governing DOD's disaster assistance support to civil authorities. DODD 3025.18 establishes the base line for DSCA, also referred to as CS. DOD 3025.1-M provides detailed guidance for the preparation, coordination and execution of military support to civil authorities during civil emergencies within the United States, its territories, and possessions. DODD 3025.18 consolidates all policy and responsibilities applicable to disaster-related civil emergencies within the United States, its territories, and possessions.

DODD 3025.18 constitutes a single system for DSCA, by which the DOD Components shall plan for, and respond to, requests from civil government agencies for military support in dealing with the actual or anticipated consequences of civil emergencies requiring Federal response, or attacks, including national security emergencies. This Directive addresses the assignment and allocation of DOD resources to support civilian authorities (except for law enforcement) during declared and undeclared civil emergencies in both peacetime and war. Specifically, it:

- Emphasizes the ARNG and ANG forces acting under SAD (not in federal service) have primary responsibility for providing military assistance to state and local government agencies in civil emergencies.
- Establishes that DOD Components usually will make available DOD resources in civil emergencies on a cost reimbursable basis. Support may be provided on a non-reimbursable basis only if required by law or if both authorized by law and approved by the appropriate DOD official.
- Establishes the requirement to comply with legal and accounting requirements to ensure reimbursement of costs. Service Secretaries shall direct requests for reimbursement of actual DSCA expenditures "begin within 30 calendar days after the month in which performance occurred."
- Allows Federal military commanders and DOD Components to take necessary actions in support of civil authorities without prior approval from higher headquarters in certain situations that require immediate action because of imminent loss of life or great property damage. This provision is called "Immediate Response."
- In incidents where there has not been a Presidential declaration of disaster or emergency (non-Stafford Act situations), Federal military commanders have "Emergency Authority" to control a situation, to engage temporarily in activities necessary to quell large-scale, unexpected civil disturbances to prevent significant loss of life or wanton destruction of property or to restore governmental function and public order. Emergency authority is limited to extraordinary emergency circumstances, prior authorization from the President is impossible, and duly constituted local authorities are unable to control the situation.

Domestic JTF Commander Handbook

This Directive establishes six criteria against which to evaluate any request for providing military assistance to civil authorities:

- Legality: Whether it complies with the law
- Lethality: What potential there is for lethal use of force by or against DOD forces
- Risk: The safety of DOD forces
- Cost: What impact it will have on the DOD budget and the source of funding
- Appropriateness: Whether the requested mission is within the interests of DOD
- Readiness: What impact the mission will have on DOD's ability to perform its primary mission

DODD 3025.18 establishes the SecDef as the approval authority for military support to be provided in case of civil disturbances, response to CBRNE incidents, assistance to civilian law enforcement organizations (except for assistance authorized in DODD 5525.5 "DoD Cooperation with Civilian Law Enforcement Officials"), assistance in responding with assets with potential for lethality (*e.g.*, loans of arms, vessels or aircraft, or ammunition) support to counterterrorism operations, and support for planned events that have the potential to result in a confrontation with specific groups or individuals.

The DOD Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs (ASD(HD&ASA)) serves as the principal civilian advisor to the SecDef and the Defense Domestic Crisis Manager. With the exception of the items noted in the previous paragraph and DOD unmanned aircraft systems, the ASD(HD&ASA), serves as approval authority for requests for assistance from civil authorities or qualifying entities sent to the SecDef, as delegated by the SecDef in accordance with DODD 5111.13 ("Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs (ASD(HD&ASA))"). This authority may not be delegated further than the Principal Deputy Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs.

4. Joint Continental United States Communications Support Environment

References: EO 13388, *Further Strengthening the Sharing of Terrorism Information to Protect Americans* (25 October 2005)
JP 6-0, *Communications System Support* (10 June 2010)
Joint Continental United States (CONUS) Communications Support Environment (JCCSE) Concept for Joint C4 (15 October 2005)
CJCSI 3320.01B, *Electromagnetic Spectrum Use in Joint Military Operations* (1 May 2005 (current as of 6 May 2008))
CJCSI 3320.03A, *Joint Communications Electronics Operation Instructions* (1 June 2005 (current as of 19 November 2007))
CJCSI 6211.02C, *Defense Information System Network (DISN): Policy Responsibilities* (9 July 2008)
CJCSI 6212.01E, *Interoperability and Supportability of Information Technology and National Security Systems* (15 December 2008)
CJCSI 6215.01C, *Policy for Department of Defense (DOD) Voice Networks With Real Time Services (RTS)* (9 November 2007)
CJCSI 6250.01D, *Satellite Communications* (17 February 2010)
CJCSI 6251.01C, *Narrowband Satellite Communications Time Division Multiple Access Requirements* (15 August 2009)
CJCSI 6510.01F, *Information Assurance (IA) and Computer Network Defense (CND)* (9 February 2011)
CJCSM 3320.01B, *Joint Operations in the Electromagnetic Battlespace* (25 March 2006 (current as of 6 May 2008))
CJCSM 6231.01D, *Manual for Employing Joint Tactical Communications Joint Systems Management* (15 January 2010)
CJCSM 6510.01A, *Defense-in-Depth: Information Assurance (IA) and Computer Network Defense (CND) Volume I (Incident Handling Program)* (24 June 2009)
CJCSM 6715.01A, *Joint Collaboration Tools (CT) Employment* (26 May 2004 (current as of 23 December 2008))

State References: Since laws and state capabilities may differ from state to state, it is important to remember to research your state's references regarding this topic for more detailed information.

4.1 Chapter Overview

This chapter addresses the following:

- Overview of the JCCSE
- Key JCCSE components

Domestic JTF Commander Handbook

- The Joint Information Exchange Environment (JIEE)
- The NGB Joint Command, Control, Communications and Computer Systems (C4) Coordination Center (JCCC)
- The National Guard Communications Element (NGCE)
- Additional communication capabilities

4.2 Overview of the JCCSE

4.2.1 JCCSE Vision

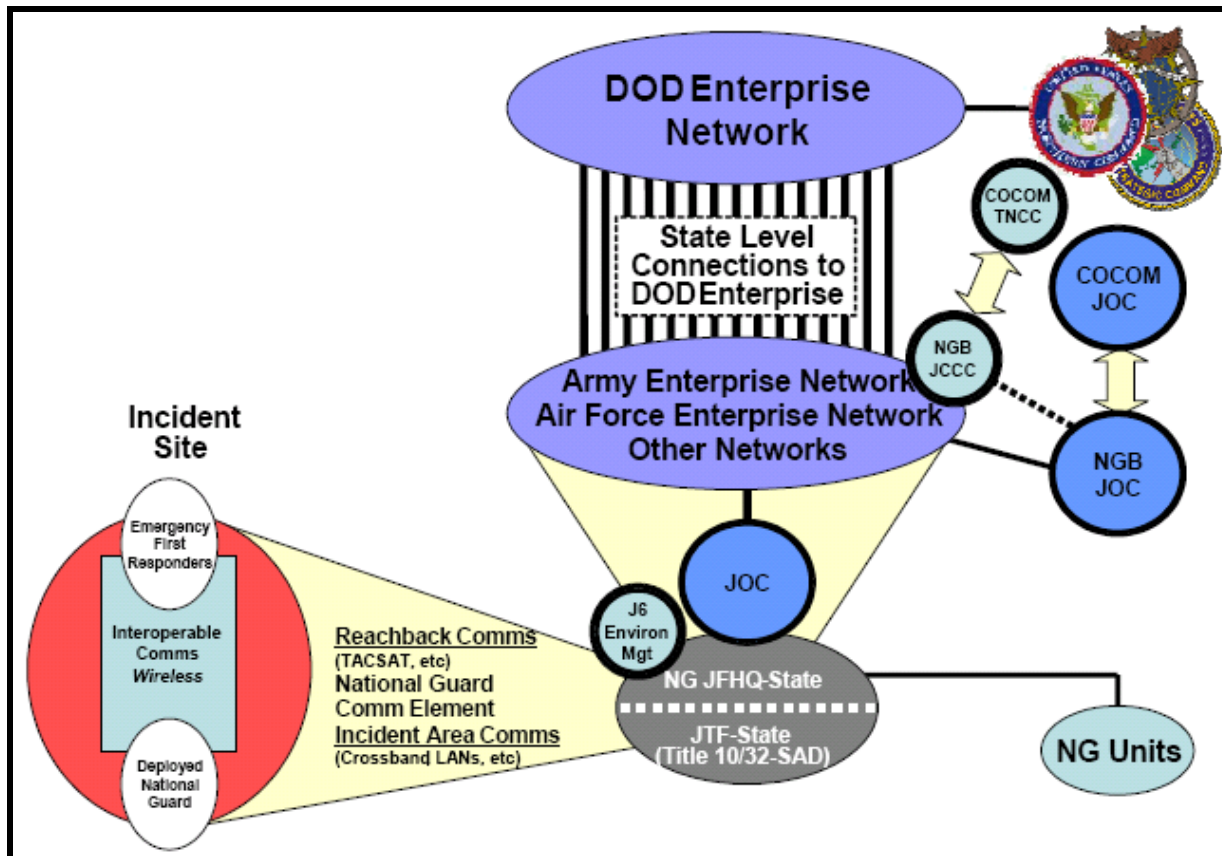
The vision for JCCSE is to enable the reliable and timely flow of key information to support state and Federal military activities, routine and otherwise, required for HD, DSCA, and other mission needs. Effective implementation of the JCCSE vision requires close adherence to four design pillars: interoperability, partnership, unity of effort, and adaptability. JCCSE is rooted in a close, collaborative, partnership among the DHS, USNORTHCOM, USPACOM, USSOUTHCOM, US Strategic Command (USSTRATCOM), and US Joint Forces Command (USJFCOM) with the National Guard Bureau (NGB), and the National Guard (NG) community to tailor forces and baseline communications for homeland operations.

4.2.2 JCCSE Mission

JCCSE is an umbrella concept for NG IT capabilities supporting HD and DSCA missions. It should not be construed as a single entity such as a system, a network, collaborative tool suite, or deployable communications van; rather it is an information sharing environment that is seamless to the user and that facilitates horizontal information sharing capabilities. This environment provides multiple, inter-dependent organizational and infrastructure components. Although the acronym “JCCSE” includes a reference to the CONUS, the construct is not intended to be limited to the contiguous 48 states but is envisioned to be an enterprise capability available to support the entire homeland – all States/Territories.

As illustrated in Figure 4-1, JCCSE is not simply a group of technology initiatives, but rather a holistic construct comprised of multiple inter-dependent and fully integrated organizational as well as net-centric infrastructure components. JCCSE capabilities are absolutely essential in order for the NG to successfully fulfill vital new roles and responsibilities that directly support DOD and non-DOD stakeholders with planning, coordinating, and executing their assigned responsibilities.

Figure 4-1: Organizational Elements Supported by JCCSE



4.2.3 JCCSE Support to the CJTF

The Information Management (IM) plan will be used by the JTF J-6 to scope the C4 needs of the deployed JTF. By understanding the IM plan, the J-6 is able to determine critical information like bandwidth requirements, network service requirements (voice, video, and/or data), classification/accessibility needs, and the type of transmission (broadcast and/or point-to-point). This upfront planning will allow for the effective use of each of the components of the JCCSE to better extend this information sharing environment from the JFHQ-State to the JTF-State and other potential incident site locations in the AO, and back to the COCOM and interagency partners.

4.3 Key components of JCCSE: JIEE, JCCC, and NGCE supported by the Joint Incident Site Communication Capability (JISCC)

4.3.1 The Joint Information Exchange Environment (JIEE)

The JIEE creates an information sharing environment to support access to event related data and situation reporting, standardized battle staff processes (RFIs/RFAs), and Joint C4 Asset Coordination. The JIEE is the primary situational awareness tool used by the

Domestic JTF Commander Handbook

NGB's Joint Coordination Center (JoCC) during day-to-day operations. JIEE leverages and supports net-centric integration with existing federal and state systems to achieve information integration in order to avoid system redundancy and duplication of effort.

4.3.2 The NGB Joint C4 Coordination Center (JCCC)

The mission of the JCCC is to act as the eyes and ears for the CNGB regarding NG C4 activities; coordinate the deployment of NG Communications Element (NGCE) forces in support of incident operations; plan and coordinate the employment, and report the status of NG fixed and deployable net-centric IT capabilities; provide NG C4 situational awareness to COCOMs and other interagency partners; and maintain the HD/DSCA trusted information sharing environment from the NGB, through the JFHQ-State, to the incident level.

During crisis operations, the JCCC will maintain 24/7 operations supporting collaborative working and reporting relationships with the NGB JoCC, COCOM Theater Network Operations (NetOps) Control Center (TNCCs), US Army North (ARNORTH) TNCC-N and State/Territory level organizations under the direction of the JFHQ-State J-6, as needed.

The JCCC will coordinate with State/Territorial net-centric environment managers to enable the building and communication of a NG C4 COP that supports C4 situational awareness as well as the overall NG COP.

Specific crisis operations responsibilities of the NGB JCCC relevant to the JCCSE and the JTF-State are to:

- Monitor NGB, NC, and State JFHQ voice, video & data capabilities
- Maintain situational awareness of NG deployable C4 assets
- Coordinate nationwide employment of deployable C4 resources in support of HD / DSCA mission requirements
- Assess impact of deployable C4 issues and events affecting NG operations
- Develop and maintain the NG C4 COP and contribute to COCOM Theater C4 COP for NG C4 capabilities and assets
- Provide JCCC flyaway teams to perform C4 systems related coordination and support
- Provide deployed forces with frequency management support
- Support JIEE and COP maintenance and use

4.3.3 The National Guard Communications Element (NGCE)

Organizationally, the NGCE is formed in much the same way as a JTF HQ. Its structure and capabilities are based upon the mission and therefore, no two NGCE's will be exactly alike. Using the results of the Communications System Staff Estimate as described in Appendix B of JP 6-0, *Communications System Support*, the designated JTF J6 will determine the C4 capabilities required to support the Domestic JTF Commander.

Domestic JTF Commander Handbook

Based on this analysis, the JTF J6 will create a C4 support plan that includes a description of the capabilities needed. These would likely include:

- Interoperability among deployed NG and civilian responders
- Deployable communications and IT capabilities needed by NG forces at deployed sites
- Reach-back capabilities - incident site to JTF-State and JFHQ-State, and beyond
- Other capabilities as defined by validated trusted information exchange requirements

Should the State/Territory not have organic C4 resources to satisfy all the capability needs of the JTF, additional capabilities can be brought to bear through the implementation of appropriate EMACs, MOAs, MOUs, SOPs, etc.

4.3.4 The Joint Incident Site Communications Capability (JISCC)

This term describes the NGBs fielded interim capability to provide the key requirements of the NGCE in the HD/DSCA mission space as described above. While the long-term strategy to provision these key requirements is from within official Army and Air Force Programs of Record, the current requirements are provided by a modular system as described below:

- All JISCC terminals have five basic modules:
 - Incident Site Communications Module (hand-held radios, repeaters, etc.)
 - Voice Interoperability Module (radio cross-banding UHF, VHF, HF, Mil tactical & 800MHz)
 - Reach-back Module (satellite dish, satellite modem, for NIPR, DSN, PSTN & commercial internet)
 - On-scene Command Post Module (computers, phones, VTC, WiFi, etc.)
 - Support Module (generator, tent, cases, etc.)
- ARNG JISCC packages have the optional module for Secure Communications (SIPRnet and SVTC)
- The Joint Task Force Expansion Module (JTFX) – one in each FEMA region - provides the capability to carry additional IP traffic to support an additional 65 VoIP telephones and laptops. This enables the JISCC to expand as the incident response grows.

The JISCC capability is resident in all 54 U.S. States, Territories and the District of Columbia. A total of 93 (60 ARNG and 33 ANG) JISCC platforms are fielded throughout the U.S.

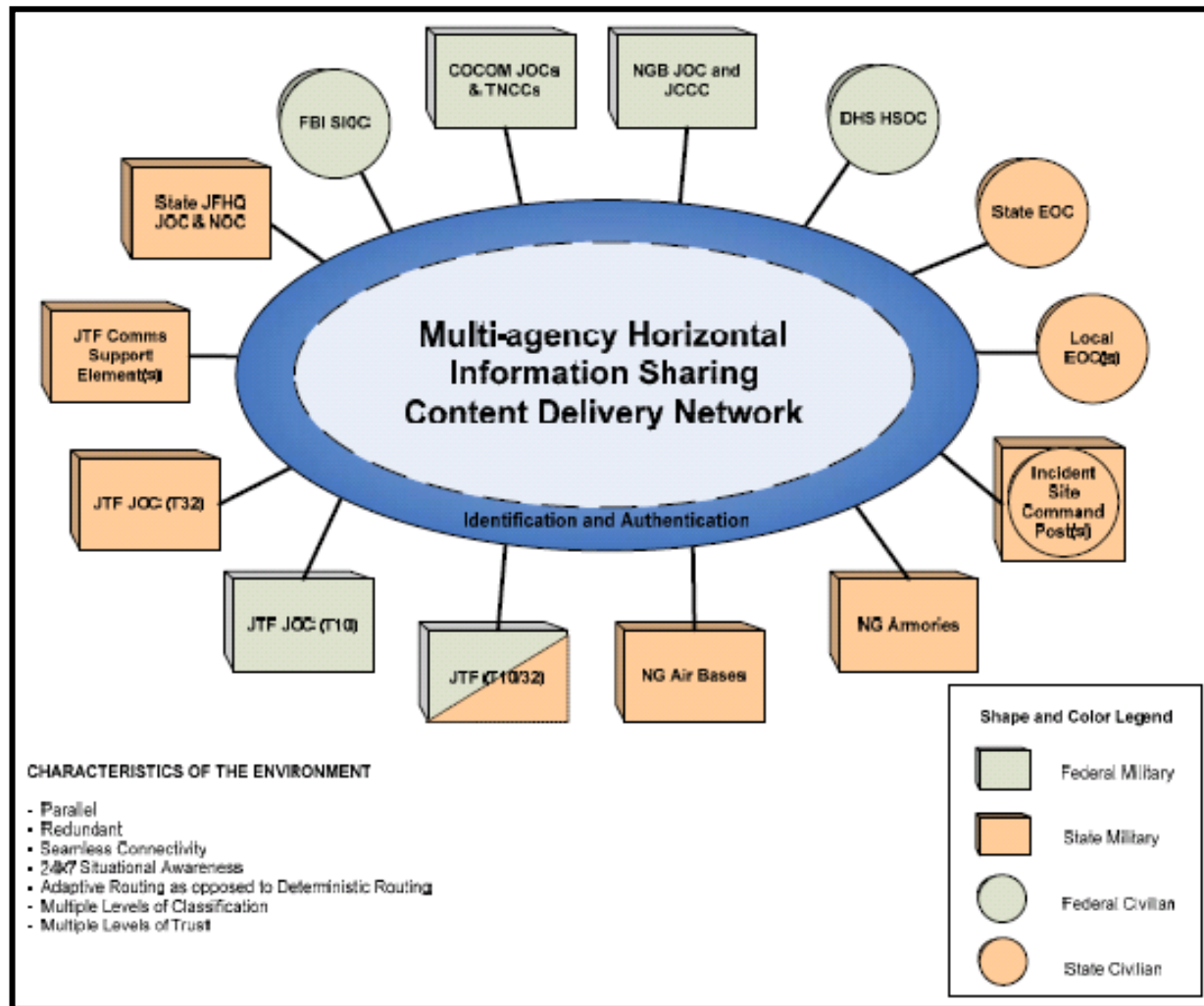
4.4 Other C4 Capabilities

The C4 plan must account for all C4 resources available no matter who the actual proponent. For instance, other military functional elements like the military intelligence have their own organic resources to support the CJTF. In this example, the Army

Domestic JTF Commander Handbook

Trojan Spirit system may be employed to provide secure and non-secure voice, video, and/or data services to the JTF J-2 and could also be integrated into the overall JTF architecture to provide additional redundancy and reliability for the deployed JTF.

Figure 4-2: JCCSE Information Sharing Environment



4.4.1 Interagency and Nongovernmental Organization Communications

Of increasing importance to joint operations is effective connectivity to non-DOD departments and agencies and nongovernmental organizations. Presidential EO 13388, *Further Strengthening the Sharing of Terrorism Information to Protect Americans* directs DOD agencies and military Services to share classified and unclassified information with the interagency. In some situations, information sharing will also occur with intergovernmental agencies and nongovernmental agencies. JTF J-6s need to identify

Domestic JTF Commander Handbook

interagency Information Exchange Requirements (IERs) and coordinate connectivity/access as required.

4.5 Key Organizational Relationships

Combatant Command Theater NetOps Control Center – TNCCs oversee and direct NETOPS for geographic CCDRs within their AOR to support their missions. The TNCC supports the COCOM J-6 with overall network SA sharing and coordination of NETOPS activities throughout the Global Information Grid (GIG). The primary mission of the TNCC is to lead, prioritize and direct resources to ensure they are optimized to support the geographic CCDR's assigned missions and operations, and to advise the CCDR of the ability of the GIG to support current and future operations. The ability to properly share SA between this Title 10 organization and the NGB JCCC allows for a more effective and efficient Federal military response to an incident should the State/Territory leadership request Federal assistance during disaster response.

NGB JoCC – The primary functions of the current JoCC are to interface with the 54 JFHQs, key NGB leadership, USNORTHCOM, and other federal entities, as needed, about Guard issues. No C2 functions are associated with the JoCC, and there are no subordinate organizations to the Bureau's headquarters other than the ARNG and ANG Directorates. The JoCC's primary function is to serve as a communications and coordination hub supporting the Bureau's role as a key interface between the State/Territorial and federal levels for NG matters.

NGCE – The NGCE is responsible for maintaining SA on the status of C4 resources supporting the CJTF during disaster response. As the single organizational entity responsible for the NETOOPS status of deployed C4 resources, it is important for the NGCE and the NGB JCCC to be synchronized on important C4 issues at all times.

Part 2: Deploying and Employing a JTF

The deployment process requires continuous planning that begins with the requirement to deploy forces, and ends when units are assembled in the theater and integrated into the joint force. Deployment is conducted in four phases: predeployment activities; movement to and activities at a point of embarkation (POE); movement to the AOR; and JRSOI.

5. Funding Under Title 10/32

References: 18 U.S. C. § 1385 – Use of Army and Air Force as posse comitatus
42 U.S.C. §§ 5121-5206 – The Stafford Disaster Relief and Emergency Assistance Act
31 U.S.C. §§ 1535 – The Economy Act
Emergency Management Assistance Compact (EMAC) (PL 104-321, 110 Stat. 3877)(19 October 1996)
National Response Framework (NRF) (January 2008)
NRF Financial Management Support Annex
National Defense Appropriation Act for Fiscal Year 1990 (FY90) (PL 101-165, 11 November 1989), Title V “*Emergency Response Fund*”
FY94 National Defense Appropriation Act (PL 103-139, 11 November 1993), Section 8131
FY04 Emergency Supplemental Appropriations Act for Defense and for the Reconstruction of Iraq and Afghanistan (PL 108-106, 6 November 2003), Sec. 1105 *Defense Emergency Response Fund Close-Out Authority*
DODD 3025.1, *Military Support to Civil Authorities* (15 January 1993)
DODD 3025.15, *Military Assistance to Civil Authorities* (18 February 1997)
DODD 5525.5, *DOD Cooperation with Civilian Law Enforcement Officials* (15 January 1986 (incorporating change 1 (20 December 1989))
Domestic Operational Law (DOPLAW) Handbook for Judge Advocates, Center for Law and Military Operations (CLAMO) (20 July 2009)¹¹

State References: Since laws and state capabilities may differ from state to state, it is important to remember to research your state’s references regarding this topic for more detailed information.

¹¹http://www.loc.gov/rr/frd/Military_Law/pdf/domestic-law-handbook-2009.pdf

Domestic JTF Commander Handbook

5.1 Chapter Overview

In missions for which a Dual Status Commander (Title 10/32/SAD) JTF is established, the Dual Status JTF Commander and his personnel will be providing DSCA. In such missions, DOD resources – whether personnel, equipment, or services – will be employed for purposes other than defense. In such cases, there are specific statutory limitations on using DOD funds (appropriations) that the CDR needs to understand and follow in order to remain compliant with the law and federal financial management regulations. United States Property and Fiscal Officers (USPFOs) are charged with ensuring all fiscal laws and regulations are adhered to and are the CDR's financial management experts. CDRs need to ensure their staff has USPFO representation. The CDR may elect to establish a J8 to handle funding issues. It is best to have both ARNG and ANG representation in the J8 if both services are part of the JTF. In most cases NGB ARC (ARNG), NGB/FM (ANG) and NGB-J8 will provide detailed guidance on tracking expenditures and other fiscal considerations. In absence of specific guidance, the USPFO is responsible for ensuring expenditures are legal and accurately tracked. In most cases, the JTF will utilize local ARNG and ANG funding and will be reimbursed through NGB. Tracking of expenditures using the guidance from NGB ARC, NGB/FM and NGB-J8 is paramount to ensure proper reimbursement at both the JTF and NGB levels. In most cases NGB will seek reimbursement from the lead federal agency without additional action by the JTFs.

Domestic missions will also require DOD agencies and personnel to work closely with other federal departments and agencies and, occasionally, to obtain goods and services from these agencies. In this area as well there are statutes and regulations to be observed.

This chapter describes the authorities that govern how DOD resources may be employed for DSCA. It also outlines financial processes and mechanisms for DOD agencies to provide or obtain financial or in-kind support from civilian agencies in planning and executing a Domestic mission in support of civilian agencies.

5.2 General Fiscal Controls on the Use of DOD Appropriations

In general, a CDR should be aware that there are three basic fiscal controls (implemented by a number of different laws) on the means by which Defense Agencies provide support to civilian authorities: Purpose, Time, and Amount.

- **Purpose:** Under the law, an appropriation, *i.e.*, federal funding, can be used only for the purpose for which the appropriation was made. The law also states that an agency must use only one source of appropriated funds for a particular purpose and, once that source is exhausted, it may not use another source for the same purpose.
- **Time:** An appropriation must be spent (obligated) within a particular amount of time. Typically, Congress appropriates funds for federal agencies for one year; therefore those funds must be obligated within the year for which they were appropriated. (Operations and Maintenance (O&M) funds are for one year.) In

Domestic JTF Commander Handbook

addition, appropriations must be used for the period in which the particular need for that funding occurs. Pursuant to the attacks on September 11, 2001, Congress established a special appropriation that has no time limit, referred to as a “no-year appropriation.” Congress may appropriate such funds in special cases, usually in an off-cycle supplemental appropriation.¹²

- **Amount:** The law prohibits a government officer or employee from making or authorizing an expenditure (or obligation) in excess of the appropriation; making or authorizing expenditures in excess of amounts permitted by regulations; or accepting voluntary services, unless specifically authorized by law.

CDRs must ensure that no violations of applicable funding laws occur and are required to investigate suspected violations and impose administrative sanctions for any violation that has occurred.

5.2.1 The Economy Act

The Economy Act allows a federal agency to use its own appropriations to fund another agency to contract for supplies or services. Under the Act, the agency requesting the supplies or services must then promptly reimburse the agency filling the order. This payment may be made via the Military Interdepartmental Purchase Request (MIPR) or a MOA. This essentially means that the requesting agency will be spending (obligating) another agency’s appropriated funds. Because it is against the law for an agency to spend its own appropriated funds for another service or agency, it is good practice to obtain the order and the funding document of the requesting agency before filling the request.

The law also provides that any obligated amount must be deobligated if, by the end of the appropriations term, the agency filling the order has not incurred its own obligations in providing the service. This means that the agency requesting the service must monitor its MIPR or MOA and the agency filling the order must expeditiously obligate the funds it receives.

The Economy Act is supplemented by several documents that set federal procurement regulations: the Federal Acquisition Requisition (FAR) 17.500; the Defense Federal Acquisition Regulation Supplement (DFARS) 217.500; and the Army FAR Supplement (AFARS) 17.5. These regulations require two primary documents for the transaction: the Determination and Findings (D&F), which establishes the Economy Act as the authority for the transaction; and the Order constituting the agreement between the requiring and servicing agencies on the statement of work, payment for supplies or services, and related terms and conditions. For DOD agencies, a MIPR may serve as the required Order.

¹² Congress used this to appropriate funds for the Global War on Terrorism (GWOT)

Domestic JTF Commander Handbook

5.2.2 Immediate Response

The immediate response authority is not provided for in any statute, but is said to have deep historical roots.¹³ Although there is no statutory authority to do so, DODD 3025.15 and 3025.1 establish a CDR's "immediate response" authority.¹⁴ Immediate response authority is very limited and should be invoked only for bona fide emergencies. When imminently serious conditions exist and time does not permit prior approval from higher headquarters, immediate response authority permits local military CDRs and responsible officials of other DOD components to act immediately "to save lives, prevent human suffering, and mitigate great property damage" in imminently serious conditions when time does not permit approval from higher headquarters. Types of support authorized include rescue, evacuation, emergency treatment of casualties, and maintenance or restoration of emergency medical capabilities; emergency restoration of essential public services (including fire-fighting, water, communications, transportation, power, and fuel); emergency removal of debris and explosive ordnance; and recovery, identification, registration, and disposal of the dead; monitoring and decontaminating radiological, chemical, and biological effects; controlling contaminated areas; and reporting through national warning and hazard control systems; roadway movement control and planning; safeguarding, collecting, and distributing food, essential supplies, and materiel on the basis of critical priorities; damage assessment; interim emergency communications; and, facilitating the reestablishment of civil government functions. DOD support under immediate response authority is limited to the time that local or state authorities can resume control (generally 72 hours or less).

When responding to requests from civil authorities, local CDRs must advise the National Military Command Center through the chain of command and the N-NC Command Center within two hours of the decision to provide immediate response assistance and seek SecDef approval or additional authorization as needed. Contemporaneous coordination with JDOMS and ASD(HD) should always occur in these scenarios, and in any other case potentially involving this type of assistance to civil authorities.

The DOD Components that receive verbal requests from civil authorities for support in an exigent emergency may initiate informal planning and, if required, immediately respond. However, civil authorities shall be informed that verbal requests for support in an emergency must be followed by a written request. This type of support is provided on a reimbursable basis, but assistance should not be delayed or denied

¹³ See Commander Jim Winthrop, *The Oklahoma City Bombing: Immediate Response Authority and Other Military Assistance to Civil Authority (MACA)*, ARMY LAW, July 1997, at 3.

¹⁴ DODD 3025.15, *Military Assistance To Civil Authorities* (18 February 1997) and DODD 3025.1, *Military Support To Civil Authorities (MSCA)* (15 January 1993) contain detailed guidance on the exercise of Immediate Response Authority. It is anticipated that these directives will be replaced by DODD 3025.DD, *Defense Support Of Civil Authorities* and DOD Manual 3025.DD, *Defense Support Of Civil Authorities*.

Domestic JTF Commander Handbook

because the requester is unable or unwilling to commit to reimbursement. Because DOD functions primarily in a support role in domestic operations, most military assistance to civil authorities is provided on a reimbursable basis. To obtain reimbursement for costs incurred as a result of an immediate response, DOD should request reimbursement from the state or local government to whom assistance was provided. Often, the state and local governments do not have the available funding to reimburse. As a result, in the past DOD had looked to the Defense Emergency Response Fund (DERF)¹⁵ for reimbursement. Congress established this special “no year” account into which DOD could transfer part of its annual appropriation of Operation and Maintenance (O&M) funds. Once O&M funds were transferred into this account, they were available for the same purposes and for the same time period, i.e., no-year. Under this provision, “the Fund is available for providing reimbursement to currently applicable appropriations of the Department of Defense for supplies and services provided in anticipation of requests from other Federal Departments and agencies and State and local governments for assistance on a reimbursable basis to respond to natural and manmade disasters.”

The DERF was created in the FY90 National Defense Appropriation Act, in response to Hurricane Hugo. FY 94 National Defense Appropriation Act, Section 8131, authorized DOD to request reimbursement from the DERF for its own disaster response efforts: “the Fund may be used, in addition to other funds available to DOD for such purposes, for expenses of DOD which are incurred in supplying supplies and services furnished in response to natural or manmade disasters.”¹⁶ Since November 2003, the DERF has been closed out.¹⁷ Effective 1 November 2003, adjustments to obligations that before such date would have been properly chargeable to the DERF shall be charged to current appropriations available for the same purpose. If the DERF does not cover the costs, the request should be forwarded to FEMA. On rare occasions, FEMA has provided reimbursement to the DOD for immediate response assistance by “ratifying” the DOD action after the fact. Such ratification, however, is done on a case-by-case basis. CDRs cannot rely on FEMA doing so in every case. The FEMA is under no obligation to reimburse the DOD for response actions taken prior to a Presidential Declaration. If no one reimburses the affected command, the costs of the immediate response assistance are funded through unit operations and maintenance (O&M) funds.

¹⁵ National Defense Appropriation Act for Fiscal Year 1990 (FY90) (PL 101-165, 11 November 1989), Title V “*Emergency Response Fund*”.

¹⁶ National Defense Appropriation Act for Fiscal Year 1994 (FY94) (PL 103-139, 11 November 1993), Section 8131.

¹⁷ FY04 Emergency Supplemental Appropriations Act for Defense and for the Reconstruction of Iraq and Afghanistan (PL 108-106, 6 November 2003), Sec. 1105 *Defense Emergency Response Fund Close-Out Authority*.

Domestic JTF Commander Handbook

Immediate Response is situation-specific and may or may not be associated with a declared disaster. This is not a blanket provision to provide assistance. Base and Installation CDRs must always balance the impact of providing immediate response with their military mission requirements. The U.S. Army Corps of Engineers (USACE) has statutory authority under Public Law 84-99, Flood Control and Coastal Emergencies, for unilateral emergency response. Under PL 84-99, the Chief of Engineers, acting for the SecArmy, is authorized to undertake activities including disaster preparedness, Advance Measures, emergency operations (flood response and post-flood response), rehabilitation of flood control works threatened or destroyed by flood, protection or repair of federally authorized shore protective works threatened or damaged by coastal storm, and provisions of emergency water due to drought or contaminated source. (See 33 U.S.C. § 701n)

5.2.3 Law Enforcement Activities

The Posse Comitatus Act (PCA), along with supporting legislation and regulations, preclude the military from replacing civilian authorities as the primary instrument of law enforcement. Except in specific cases and under circumstances expressly authorized by the Constitution or Act of Congress, the PCA limits the use of federal military forces for domestic law enforcement activities. The PCA has come to symbolize the separation of civilian affairs from military influence. The PCA itself, 18 U.S.C § 1385, as amended, is a criminal statute:

Whoever, except in cases and under circumstances expressly authorized by the Constitution or Act of Congress, willfully uses any part of the Army or Air force as a posse comitatus or otherwise to execute the laws shall be fined under this title or imprisoned for not more than two years, or both. [Emphasis added]

The PCA has been extended to apply to the Navy and Marine Corps by Regulation.¹⁸

The PCA does not apply to the NG when they are operating at the direction of the State Governor because they are not part of the Army or Air Force and are operating as a State militia. It does apply when the NG is in a Federal (Title 10) status.

The PCA does not apply to military operations, such as flying defensive missions over U.S. cities, protecting military installations, enforcing law and regulations on military installations and the like.

The PCA does not apply to situations that are recognized as exceptions by the U.S. Constitution or statute. Key exceptions to the PCA are the Insurrection Act (10 U.S.C. §§ 331-335 and 12301, *et seq.*, as amended) as well as 10 U.S.C. § 382 and 18 U.S.C. § 831, which allow military forces to take enforcement action related to chemical and

¹⁸ DODD 5525.5, *DOD Cooperation with Civilian Law Enforcement Officials* (15 January 1986 (incorporating change 1 (20 December 1989))).

Domestic JTF Commander Handbook

biological weapons of mass destruction in an emergency situation declared by the U.S. Attorney General and SECDEF.

There are several statutes, other than the Insurrection Act, that provide statutory authority for the military to assist civilian law enforcement agencies in executing the laws. These statutes permit direct military participation in civilian law enforcement, subject to the limitations within the respective statutes. Specific statutes and other references must be consulted before determining whether military participation is permissible. These statutes include the following:

- Assistance in the case of crimes against foreign officials, official guests of the United States, and other internationally protected persons (18 U.S.C. §§ 112, 1116)
- Protection of the President, Vice President, and other designated dignitaries (18 U.S.C. § 1751 and the Presidential Protection Assistance Act of 1976)
- Assistance in the case of crimes against members of Congress (18 U.S.C. § 351)
- Execution of quarantine and certain health laws (42 U.S.C. § 97); Protection of national parks and certain other federal lands (16 U.S.C. §§ 23, 78, 593)
- Enforcement of the Fishery Conservation and Management Act of 1976 (16 U.S.C. § 1861(a))
- Actions taken in support of the neutrality laws (22 U.S.C. §§ 408, 461-462)
- Removal of persons unlawfully present on Indian lands (25 U.S.C. § 180)
- Execution of certain warrants relating to enforcement of specified civil rights laws (42 U.S.C. § 1989)
- Removal of unlawful enclosures from public lands (43 U.S.C. § 1065)
- Protection of the rights of a discoverer of a guano island (48 U.S.C. § 1418)
- Support of territorial governors if a civil disorder occurs (48 U.S.C. §§ 1422, 1591)
- Actions in support of certain customs laws (50 U.S.C. § 220)

5.2.4 Other Permissible Support to Civil Agencies

In addition to support to civilian agencies in case of a major disaster or national emergency, DOD may be called upon to provide support in a wide range of situations. These include:

- Intervention in civil disturbances
- Support to civilian law enforcement that does not violate PCA (for example in making equipment available)
- Counterdrug support
- Innovative readiness training
- Support to special events such as the Olympics or other sporting event
- Support to private organizations, such as the Red Cross or the Boy Scouts or Girl Scouts of America

Domestic JTF Commander Handbook

- Loan or lease of non-excess property of a military department
- Traffic and safety assistance
- Ordnance disposal
- Military working dogs

5.3 Support in Non-Stafford Act Situations

The NRF established a mechanism for a federal department or agency to request federal support when the incident in question does not meet the requirements of the Stafford Act, *i.e.*, when the President has not declared a national emergency or major disaster.

When an incident occurs (without a Presidential declaration of major disaster or national emergency) federal agencies may provide a coordinated response under the procedures established by the NRF.

In non-Stafford Act situations, however, there is no Disaster Relief Fund that can be applied for relief at the site of the incident. Rather, federal agencies responding under the NRF will fund their own support for incident response in accordance with the provisions established by the Economy Act, or other applicable authorities.

In these non-Stafford Act situations, too, there may be a need for federal agencies to obtain or provide financial or in-kind support from one another while responding to an emergency, when, for example, an agency must go beyond its normal operations in the course of responding to a major disaster. In such cases, the federal agency may ask that DHS coordinate and facilitate the operation. DHS will then do so using the structures of the NRF and in accordance with the procedures of the NIMS. Other federal agencies will then provide their cooperation and available resources in response to the incident, in accordance with the directives laid out in HSPD-5.

To request support from other federal agencies in responding to a non-Stafford Act incident, an agency will execute an intragency or interagency reimbursable agreement, in accordance with the Economy Act. The agency providing the support will then request reimbursement for its support from the requesting agency.

5.4 Procedures and Mechanisms for Financial Management of DSCA

The NRF Financial Management Support Annex provides financial management guidance for agencies participating in incident management, both situations in which the President has declared a national emergency or major disaster (Stafford Act) and in which he has not (non-Stafford Act). Specifically, the Annex establishes the *Mission Assignment* and the *Reimbursable Agreement* as the vehicles for agencies to request and provide financial support in the form of goods or services respectively in Stafford Act situations and in incidents in which a Presidential declaration of emergency has not been made (non-Stafford Act).

Domestic JTF Commander Handbook

5.4.1 Mission Assignment

In Stafford Act situations, *i.e.*, when the President has declared a national emergency or major disaster, federal agencies may use this document to secure the provision of goods and services. (An example of such an agreement is in Chapter 7).

Typically, DHS/EPR/FEMA will issue mission assignments to other federal agencies to meet the needs of a state requesting federal assistance after a declared emergency, or to support overall federal operations in response to the emergency. It will include information on funding and funding limitations, the requirements of the task to be performed, the expected completion date, and the state cost-share requirements. An agency receiving the mission assignment may in turn seek support from a secondary agency by providing the secondary, or support, agency with written instructions and funding limitations. The primary agency may use any appropriate and workable document to obtain such support, although it may utilize the Mission Assignment Subtasking Request Form (See Appendix 19.10). The secondary or support agency must then submit a cost breakdown to the primary agency, which must review it and approve it before forwarding it to DHS/EPR/FEMA for reimbursement.¹⁹

5.4.2 Reimbursable Agreements (RAs)

In non-Stafford Act situations, the NRF allows federal agencies to request and provide Federal-to-Federal support by executing interagency or intra-agency RAs, in accordance with the Economy Act or other applicable authorities.

5.4.3 Emergency Management Assistance Compact (EMAC)

EMAC is “The” Emergency Management Assistance Compact approved by Congress in Public Law 104-321. It is a national Governor’s interstate mutual aid compact that facilitates the sharing of resources, personnel and equipment across state lines. It allows the states to rely upon each other in responding to, among other things, emergencies such as man-made or natural disasters, insurgencies or enemy attack. To date, “The” EMAC has been ratified by 50 states, the District of Columbia, Puerto Rico, the U.S. Virgin Islands and Guam. Once a state has passed the EMAC, its state law is modified in conformity with EMAC, so missions conducted pursuant to its guidance are “exempted” from any contradictory state law provisions. Moreover, because Congress consented to EMAC, this compact is now federal law.

EMAC establishes immunities, authorities, and liabilities for missions executed under its authority. EMAC addresses fiscal and legal issues that may vary across state lines. It also pre-determines C2 arrangements, establishing that assets provided from one state to another remain under the control of the Governor of the sending state. And, just as importantly, when ratified by a state, EMAC comports FEMA recognition that cross-state support is reimbursable. Thus, under EMAC, a state receiving support from

¹⁹ Additional information on this process, including reimbursement and billing, may be found at www.fema.gov/ofm

Domestic JTF Commander Handbook

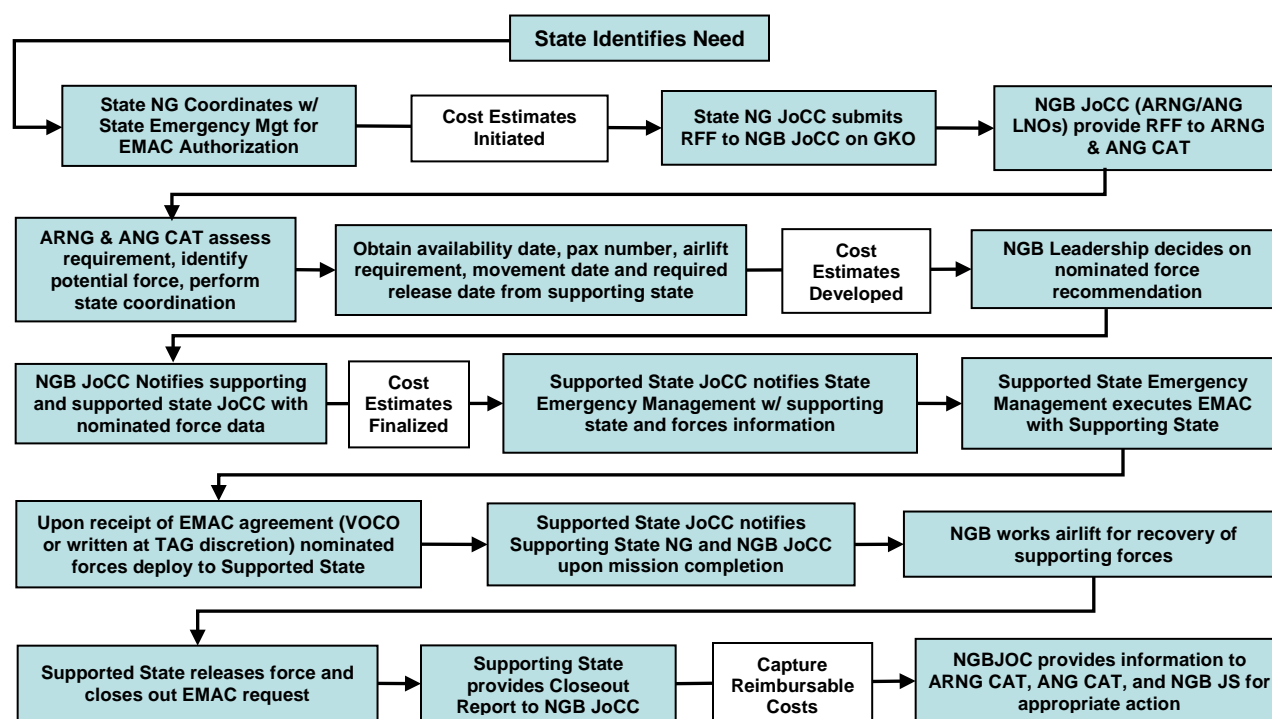
another state will be able to seek reimbursement for its emergency-related expenses from FEMA and, in turn, reimburse the sending state.

The resource types requested by a state are specified on a request form (REQ-A). The assistance set forth in REQ-A is negotiated between the requesting state and the supporting state. When both the requesting state and the supporting state have signed the REQ-A, a written contract is created.

Because EMAC resolves such potentially contentious issues before state-to-state support is required, it helps speed the delivery of aid in emergencies.

Duplication of effort between EMAC requests and Request for Forces (RFFs) should be avoided. In preparation for an event, there might be an urge to setup a separate RFF which parallels the process already in place with EMAC, which can quickly cause confusion. EMAC RFFs are sometimes sent to “all states,” essentially bypassing the internal RFF coordination, and created confusing duplicate RFFs. To address these issues, the NGB JoCC initiated a RFF and EMAC process flow for large events (See Figure 5-1).

Figure 5-1: Request for Forces and EMAC Process Flow for Large Events



5.5 Best Practices and Lessons Observed

Dual Status Commander JTFs have been established to respond to non-Stafford Act situations, such as in providing security to the 2004 G-8 Summit in Sea Island, Georgia; the 2004 Democratic National Convention (DNC) in Boston, MA; and the 2004

Domestic JTF Commander Handbook

Republican National Convention in New York, NY. In each case financial and funding issues arose that challenged the CJTF.

The CJTF must utilize his or her USPFO staff (JTF-J8, if established) and the guidance received from NGB/ARC (ARNG), NGB/FM (ANG) and NGB-J8 to ensure fiscal compliance. Funding guidance can at times be very complex and contradictory. It is vital the USPFO or JTF-J8 staff engage with NGB on confusing or contradictory guidance.

The key lesson from each of these JTFs is the need for early mission assignment. In all cases, the decision to place the troops supporting the JTF in a Title 32 status came only a few days before the beginning of the event. This meant that the CDR had no direction as to whether funding for the operation would come from the state (if troops remained in SAD status) or from the federal government (in Title 32 status.) This hampered planning for the mission, as logistical requirements, such as housing and transportation for the troops, and contracting for support services had to be resourced from existing NGB accounts without assurance of later reimbursement. This could occur in compliance with the law because there was Operations and Maintenance (O&M) funding available to support the large force mobilized at the time and the NGB approved the use of those funds for the G-8 summit.

6. Managing Public Communications

References: NRF Incident Communications Emergency Policy and Procedures (ICEPP)
NRF Public Affairs Support Annex
NRF Emergency Support Function (ESF) #15 – External Affairs Annex
NRF Incident Communications Emergency Support Supplement (NRF-ICES)
DODD 5122.05, *Assistant Secretary of Defense for Public Affairs (ASD(PA))* (5 September 2008)
DOD Instruction (DODI) 5400.13, *Public Affairs (PA) Operations* (15 October 2008)
DODI 5400.14, *Procedures for Joint Public Affairs Operations* (22 January 1996)
DODI 5435.2, *Delegation of Authority to Approve Travel in and Use of Military Carriers for Public Affairs Purposes* (25 April 1975)
CJCSI 3121.01B, *Standing Rules of Engagement / Standing Rules for the Use of Force for US Forces (S)*(13 June 2005 (current as of 18 June 2008))
JP 5-0, *Joint Operation Planning* (26 December 2006)
JP 3-61, *Joint Public Affairs*, 9 May 2005

State References: Since laws and state capabilities may differ from state to state, it is important to remember to research your state's references regarding this topic for more detailed information.

6.1 Chapter Overview

Communications with the public and the media is a key element of a Domestic CDR's responsibilities. Public communications is a vast enterprise and is the responsibility of several federal departments and agencies, which must act in a coordinated manner to deliver consistent and sustained messages.²⁰ Throughout an event, the Domestic CDR

²⁰ The National Response Framework details the mechanisms and procedures for the coordinated Federal response in two annexes: the Public Affairs Support Annex, which describes interagency policies and procedures for communications with the public, and Emergency Support Function (ESF) #15 – External Affairs Annex, which outlines resources and capabilities for public affairs. These two annexes make up the Incident Communications Emergency Policy and Procedure (NRF-ICEPP). In addition, the NRF Incident Communications Emergency Supplement (NRF-ICES) provides supporting guidance and instructions for incident communications with the public and is distributed to a limited number of

Domestic JTF Commander Handbook

plays a key role in the overall management of communications with the public, the media, and the troops.

This chapter provides an overview of the critical communications messages a Domestic JTF Commander should address when developing a public communications plan. Additionally, the chapter outlines:

- The authorities and references for managing media relations;
- Public affairs roles and responsibilities across the federal government;
- The operational structure of public affairs under the NRF;
- Guidance for developing a communications plan that integrates a domestic JTF communications with that of other federal, state, and local authorities;
- How to accommodate distinguished visitors; and
- Best practices in public affairs that can be utilized in a crisis situation to keep those affected reassured, those not affected aware, and those involved in responding to the crisis informed.

6.2 Critical Messages of Public Communications

The Domestic JTF Commander is responsible for ensuring timely, clear, and consistent messages about the JTF activities as well as explaining on-going and future incident operations to the public. The public communications theme of the Domestic JTF Commander should address four critical areas:

- Here is what we know
- Here is what we have done/are doing
- Here is what we need you to do
- Here is what we will do next

The Domestic JTF Commander is also responsible for communicating such messages to the internal audience so organizational members can have good situational awareness and understanding of their roles in the overall mission. Although the Domestic JTF Commander will be supported by staff officers in this effort, it is critical that they be available to comment on the military aspects of the operation and its current status. One of the unique challenges of a Domestic JTF public communications plan is that it must operate in close coordination with local, state, and federal officials each with different reasons and motivations.

In addition, because of the circumstances in which Domestic JTFs are established, the CJTF should expect a flow of high-profile personalities to the operations site. Managing the visits of VIPs will be a special challenge for the CJTF.

Effectively managing these responsibilities not only reduces stress on the JTF headquarters, but also contributes directly and indirectly to mission accomplishment.

Federal Departments and Agencies that make up the Public Affairs Federal Core Group, described later in this chapter.

Domestic JTF Commander Handbook

6.3 Authorities and References for Managing Media Relations

Key references for managing the conduct of public affairs in a Domestic JTF mission are: DODI 5400.13, DODI 5400.14, and several elements of the NRF itself. DODI 5400.13 establishes the policy for the conduct of public affairs. DODI 5400.14 details the responsibilities and procedures for planning, resourcing and conducting public affairs activities in support of joint, combined, and unilateral military operations. JP 3-61, Public Affairs, represents joint doctrine and devotes a specific chapter to HD and CS missions and differentiates between federal, state and local efforts. The NRF, in its Public Affairs Support Annex, provides an overview of the required protocols and processes for media relations and incident communication in the management of domestic incidents. Specifically, the NRF requires federal departments and independent agencies to:

- Plan, prepare, and execute their respective processes for incident communications with the public during potential or actual incidents;
- In conjunction with strategic communications guidance from DHS, assume certain primary agency responsibilities for incident communications with the public when assigned or consistent with specific departmental and agency authorities;
- Disseminate incident information to the public within their functional areas of responsibility; and
- Ensure that departmental and agency plans incorporate the provisions contained in the NRF for incident communications with the public.

The NRF Interagency Incident Communication Planning Guide details the timelines and specific communications activities to be undertaken in response to an incident.

6.4 Public Communications Roles and Responsibilities

Responsibility for the management of public affairs in domestic incidents is spread across several federal, state, county and local agencies. Therefore, the Domestic CDR must be aware of and coordinate with all the major stakeholders during an incident. The following is a list of functions and responsibilities of the major public affairs stakeholders. A specific challenge of a Domestic JTF Commander is the coordination and integration of public communications messages with the multitude of local, state, tribal, federal and nongovernmental actors. A specific consequence of Hurricanes Katrina and Rita were that while the NG was conducting extraordinary operations the public perception of activities came from a diverse set of sources.

Also, the Domestic JTF Commander must be aware of a full range of complementary DOD capabilities that can greatly enhance major stakeholders and public affairs missions in domestic incidents. This may occur in the early stages of an incident when the information infrastructure in the affected area is damaged enough so that proper authority is unsure that victims are getting enough information. An example of these

Domestic JTF Commander Handbook

capabilities is the DOD's multi-media product production and dissemination platforms which can be used to reach out to the inhabitants of a region.

6.4.1 Governor

As a state's chief executive, the Governor is responsible for the public safety and welfare of the people of that state or territory and will play a key role in communicating with the public in order to aid people, businesses, and organizations in coping with the consequences of any type of declared emergency within state jurisdiction.

6.4.2 Combatant Commander (CCDR)

The CCDR is responsible for ensuring that the news media, both civilian and military, have access to unclassified joint, combined, and unilateral operations, consistent with operations security and prevailing public affairs guidance (PAG).

6.4.3 Assistant Secretary for Public Affairs, Department of Homeland Security (AS/PA, DHS)

The AS/PA, DHS is responsible for coordinating all federal activities related to incident communications with the public upon activation of the NRF. The AS/PA, DHS manages the following groups:

- **Incident Communications Public Affairs Coordination Committee (ICPACC).** The ICPACC is a federal interagency contact group incorporating public affairs representatives from all Cabinet departments and independent agencies. The ICPACC is not charged with conducting formal policy review, but may assess interagency issues process matters dealing with the Public Affairs Support Annex.
- **Federal Core Group.** The Federal Core Group is comprised of representatives from federal government agencies and semi-governmental and non-governmental organizations and develops, coordinates, and delivers information and instructions to the public that include, but are not limited to: federal assistance to the incident-affected area; federal departmental/agency response; and National preparations.
- **The Homeland Security Information Network (HSIN).** The HSIN provides the incident communications team with an encrypted online Web system for record communications, chat room capability, and a real-time capability to post and review documents. The HSIN also is used by the DHS NOC to coordinate homeland security operations with interagency participants.
- **Emergency Support Function (ESF) #15 – External Affairs.** The ESF ensures that sufficient federal assets are deployed to the field during a potential or actual incident to provide accurate, coordinated, and timely information to affected audiences, including governments, media, the private sector and the local populace. In addition, the ESF provides an interagency coordination mechanism

Domestic JTF Commander Handbook

and resource support for the activities of the federal Joint Information Center (JIC)²¹.

6.4.4 Assistant Secretary of Defense for Public Affairs (ASD(PA))

The ASD(PA) is the principal staff assistant and advisor to the SecDef for DOD news media relations, public information, internal information, community relations, public affairs, and visual information training, and audiovisual matters. The ASD(PA) is responsible for ensuring a free flow of news and information to the news media, the general public, and the internal audiences of the DOD. The ASD(PA) is the sole spokesperson and release authority for DOD information and audiovisual materials to news media representatives. Additionally, the ASD(PA) issues public affairs guidance to the DOD Components, and promoting coordination, cooperation, and mutual understanding among the DOD Components, other federal, state, and local agencies, and the civilian community.

6.4.5 External Affairs Officer (within the JIC)

The External Affairs Officer supports the JFO in all communications activities with external audiences.²² The External Affairs Officer manages and coordinates the operations of the JIC and, in this capacity, is responsible to the DHS PFO's public affairs director.

6.5 Public Communications under the National Response Framework (NRF)

Successful communications with the public and the media in the context of an incident requires close coordination of all the federal, state, local and tribal authorities involved in the management of the incident. Accordingly, the NRF establishes a multi-layered organizational structure comprised of:

- ***The Core Group of Federal Agencies:*** This entity works at the federal level to ensure that a common message is developed, coordinated, and delivered by all the departments and agencies involved in managing the incident.
- ***The Joint Information Center (JIC):*** The JIC is a physical location where public affairs professionals from agencies and organizations involved in incident management activities work together to provide critical emergency information, crisis communications, and public affairs support. The JIC may be established at

²¹ The JIC is a location, often at the site incident, where public affairs officers from the various organizations involved in managing the incident work together to provide critical emergency information, crisis communication, and public affairs support. It serves as the focal point for the coordination and dissemination of information to the public and the media regarding incident prevention, preparedness, response, recovery, and mitigation. The JIC is described in greater detail in section 6.5 of this chapter, dealing with the operational structure of public affairs.

²² The JFO is a temporary Federal facility established locally to coordinate operational Federal assistance activities to the affected jurisdiction(s) during incidents.

Domestic JTF Commander Handbook

an on-scene location in coordination with state and local agencies depending on the requirements of the incident or at the national level if the situation warrants. The JIC develops, coordinates, and disseminates unified news releases. News releases are cleared through the JFO Unified Coordination Group to ensure consistent messages, avoid releasing conflicting information, and prevent negative impact on operations. The formal approval process for news releases ensures protection of law-enforcement-sensitive information or other sensitive but unclassified information. Agencies may issue their own news releases related to their policies, procedures, programs, and capabilities; however, these should be coordinated with the JIC.

The JIC is an entity that becomes the central point of coordination for all incident information, be it information to be shared among the departments and agencies involved in incident management, announcements for and communications with the public, or information for the media. The JIC is often established at or near the incident site, usually at the location of the JFO, and falls under DHS Public Affairs. All JIC messages and communications are coordinated through DHS Public Affairs, affected state, local, and tribal leadership, and the interagency core group before being disseminated.

- ***DHS PFO Public Affairs Director:*** The Public Affairs Director for the PFO serves as the designated federal spokesperson for the incident when so directed by the PFO. This individual also provides guidance to the JIC.

It is important to remember, however, that the structure and representation of the public affairs function will vary according to the nature of the incident.

The JIC structure will be an important supporting (and supported) mechanism for the Domestic JTF Commander. It can be expected that either the PFO's Public Affairs Officer or the External Affairs Officer will request that the CJTF provide representation at the JIC and to liaise with other federal, state, local and non-governmental agency public affairs offices to ensure appropriate messages are provided to the public and to coordinate media requests to cover military operations.

At a minimum, the CJTF's public affairs officer should participate in daily teleconferences or meetings with the JFO public affairs director. Also, the CJTF's public affairs officer should participate in daily teleconferences with the COCOM Public Affairs Officer (PAO) and with the ASD(PA), as required.

Collaborating with other organizations regarding media inquiries (e.g., with DOD, NGB) is typically done during the daily teleconference with the ASD (PA). CDRs and their public affairs officers should keep the scope of their responsibilities and limits of their jurisdictions in mind when responding to media inquiries. There is nothing wrong in referring reporters to other elements of the response team, the JIC, service departments, or the DOD to get an answer to a question.

Domestic JTF Commander Handbook

The proper vetting of objective, messages and talking points is time consuming but critical. It helps to ensure the local command, the local JFO, COCOM, DOD, and DHS all speak with one voice and do not send conflicting messages.

The CDR can also expect requests to address the media, and answer their questions, at press conferences. Further, the CDR, or his public affairs staff, may be involved in coordinating with DOD, DHS and JIC staffs to identify military experts and select appropriate venues, to address the press and the public.

6.5.1 Operations Security

CDRs must balance their parallel responsibilities of allowing open and independent reporting on their forces and ensuring operations security. While there may be situations when a formal security review of news media products may be necessary, the most usual cases, especially for disaster relief operations inside the United States, should involve the disciplined practice of "security at the source."

6.6 Accommodating Distinguished Visitors

A large scale incident is likely to attract a number of high-level visitors to the incident site, such as senior U.S. Government officials, including Members of Congress and senior DOD officials, Governors, and TAGs. The CDR should ensure that their public affairs staff plans appropriately for such visits.

6.7 Credentialing Visitors

The CDR may rely on the headquarters' protocol office to facilitate and organize visits of various dignitaries to the command. In particular, the headquarters' chief of staff's special staff, among its missions, plans, directs and manages a comprehensive protocol/distinguished visitor program based on a thorough knowledge of Joint Force Command's makeup to include its relationships with other components of the DOD, other agencies, services and governments.

6.8 Public Communication Best Practices

Among the best practices recommended by public affairs professionals are:

- Conducting pre-planning for crisis communications. Pre-planning is considered a key element of successful communications in crisis. For each kind of crisis, a separate plan should be drawn up, identifying subject matter experts, communications objectives, key messages which support those objectives and specific talking points which illustrate the messages.
- Know the project organization and its objectives thoroughly.
- Determine who the interested publics will be and the characteristics of each.
- Establish the relative importance of each to the project, and in particular, identify the "high risk" areas.
- Develop strategy, resources, priorities, and schedule.

Domestic JTF Commander Handbook

- Continuously monitor the effectiveness of the program during its implementation and adjust the plan for optimum results.
- Supply public affairs guidance to all members of the JTF. News media in the United States will have greater and more continuous access to the military. Each JTF member should be able to, as a minimum, articulate the JTF mission and their role in it.
- Keep the internal audience informed. This may require engagement with both internal media and external media from home station areas outside the scope of the “national news” being created by the incident.
- Have to plan for a “networked citizenry” that is able to access information from a variety of sources very quickly. “Blogs” are an example of development related to the advent of the internet that poses special challenges for a CDR seeking to maintain a common message. Blogs are web-based publications that any individual may form and maintain, including members of the JTF.
- Integrating experts and capabilities from other than Public Affairs that assist in validating and identifying multi-media production and dissemination IRs.

Perhaps the most important factor in developing a successful communications plan is the amount of research that went into the planning effort. It is vital for a CDR’s public affairs staff to know the relevant audiences and how they receive messages. This will help shape talking points so that messages are properly received.

Public Communications in Action: Florida Hurricane Season 2004

During the 2004 hurricane season in Florida, the Florida National Guard (FLNG) set up an effective public affairs effort. The guard public affairs office worked together with the public affairs support offered from several agencies and deployed personnel as part of Staff Coordination and Assistance Teams (SCATs). In addition, a Joint Information Bureau (JIB) and a JIC were established in order to have a central point for media to access information.

In addition, the public affairs office ensured strong emphasis was placed on command messages conveying the FLNG’s ability to respond to any call. As the hurricane season progressed, the public affairs team was able to adapt to differing media needs. Flexibility was the key to their success. In addition, the public affairs team traveled and ensured they were available to areas of impact before troops moved in, or at the onset of troops arriving to support media queries. Overall, it was through the cooperation and joint operations of the Governor’s Office, the State Emergency Operations Center, and the NGB-PAO that the JFHQ-PAO was successful.

7. Rules for the Use of Force and Intelligence Considerations

References: 32 U.S.C. § 112 - Drug interdiction and counter-drug activities
JP 3-27, *Homeland Defense* (12 July 2007)
JP 3-28, *Civil Support* (14 September 2007)
EO 12333, *U.S. Intelligence Activities* (4 December 1981)
DODD 3025.12, *Military Assistance for Civil Disturbances (MACDIS)* (4 February 1994)
DODD 5111.13, *Assistant Secretary of Defense for Homeland Defense and America's Security Affairs (ASD(HD&ASA))* (16 January 2009)
DODD 5200.27, *Acquisition of Information Concerning Persons and Organizations Not Affiliated with the Department of Defense* (7 January 1980)
DODD 5210.56, *Use of Deadly Force and the Carrying of Firearms by DOD Personnel Engaged in Law Enforcement and Security Duties* (1 November 2001 (incorporating change 1 (24 January 2002)
DODD 5240.01, *DOD Intelligence Activities* (27 August 2007)
DODD O-5240.02, *Counterintelligence* (20 December 2007)
DODI 5240.10, *Counterintelligence Support to the Combatant Commands and the Defense Agencies* (14 May 2004)
DOD 5240.1-R, *Procedures Governing The Activities Of DOD Intelligence Components That Affect United States Persons* (7 December 1982)
CJCSI 3121.01B (S), *Standing Rules of Engagement / Standing Rules for the Use of Force for US Forces (S)*(13 June 2005 (current as of 18 June 2008))
CJCS CONPLAN 0500, Annex C, Appendix 16, *Rules on the Use of Forces*
JCS ConPlan 0500-98, *Military Assistance to Domestic Consequence Management Operations in Response to a Chemical, Biological, Radiological, Nuclear and High-Yield Explosive Situation* (11 February 2002)
Army Regulation (AR) 381-10, *U.S. Army Intelligence Activities* (3 May 2007)
AR 381-20, *The Army Counterintelligence Program* (15 November 1993)
Air Force Instruction (AFI) 14-103, *Threat Recognition Training Materials Production Program* (25 January 2005)
AFI 14-119, *Intelligence Support to Force Protection (FP)* (15 August 2007)
USNORTHCOM CONPLAN 3500-08, Annex C, Appendix 17, *Rules for the Use of Force*, 1 April 2008
State References: Since laws and state capabilities may differ from state to state, it is important to remember to research your state's references regarding this topic for more detailed information.

7.1 Chapter Overview

A Domestic JTF Commander needs to be able to determine the correct use of RUF as well as intelligence collection. RUF and Intelligence collection is not to invade civilian's

Domestic JTF Commander Handbook

privacy or civil liberties; it is to get an organized assessment and execution of the operation. There are distinct differences in the method troops are allowed to engage civilians during a JTF under Title 10 and 32 authorities. The same is true for the collection, retention and dissemination of intelligence. This chapter will discuss the differences and what is authorized under Title 10 and Title 32. Domestic JTF Commanders should be aware, as with public communications and legal issues, counsel will be provided to help resolve any issues that might arise.

7.2 Use of Force Considerations

General Forces assigned for CS incidents should be trained in RUF²³ before an operation begins. It is the responsibility of the CDR, in consultation with the SJA, to ensure assigned forces clearly understand the RUF in effect at any particular time during a CS incident.

CDRs at all levels must use written guidance, frequent information update briefings and verbal reminders as ways of ensuring all echelons of their units understand and operate in accordance with (IAW) the standing RUF. The standing rules of engagement (SROE) as delineated in Chairman of the Joint Chiefs of Staff Instruction (CJCSI) 3121.01A, *Standing Rules of Engagement for U.S. Forces*, do NOT apply to U.S. forces conducting CS missions. Depending on the type of CS mission, different RUF may apply.

Disaster Relief

Military forces deployed to assist civilian authorities in assistance missions associated with natural disasters such as hurricanes and earthquakes will follow RUF as set forth in the mission's execute and subsequent orders.

CBRNE Incidents

When supporting CBRNE CM operations, RUF specified in CJCS CONPLAN 0500, Annex C, Appendix 16, *Rules on the Use of Forces* apply. There is a presumption that units deployed to sites of a CBRNE situation will not carry arms. However, the SECDEF may authorize units to deploy to CBRNE sites with their weapons or a non-lethal capability in storage to cover possible follow-on assignment where weapons or a non-lethal capability may be authorized. The military chain of command is responsible for ensuring weapons and ammunition are adequately stored and physically secured at the CBRNE site.

²³ Note: RUF is used in CONUS, ROE is used overseas.

Domestic JTF Commander Handbook

Military Support to Civil Law Enforcement Agencies (MSCLEA) Events

Forces directed to assist Law Enforcement Agencies (LEAs) may or may not be armed depending on the situation. These forces will adhere to ROE and RUF as specified in their deployment order or the Memorandum of Agreement (MOA) with the supported Federal LEA.

Counterdrug Operations

Forces conducting counterdrug missions within the U.S. will abide by the RUF specified in CJCSI 3121.01B, *Standing Rules of Engagement/Standing Rules for the Use of Force for US Forces*, Appendices L and O. Since NG personnel providing counterdrug support under 32 U.S.C. § 112 are acting as State officials, each State promulgates its own RUF. CJCSI 3121.01B, Encl. O, *Counterdrug Support Operations Within US Territory*, is not applicable to the NG unless they are in federal service (Title 10 status).

Military Assistance to Civil Disturbances (MACDIS) Operations

Approval authority for military assistance in civil disturbances is governed by DODD 3025.12, *Military Assistance for Civil Disturbances (MACDIS)*. DODD 3025.12 states: “Military Forces shall not be used in MACDIS unless specifically authorized by the President, except in the following emergency circumstances...” The decision to employ armed forces is made at the cabinet level in coordination with the President, the SecDef and the U.S. Attorney General. The SecDef has reserved the authority to approve all military support in response to civil disturbances.²⁴ Pre-commitment approvals and requirements do not prevent federal military forces from alerting troops, conducting planning, preparing orders, or pre-positioning forces under the command and control of the appropriate geographic combatant CDR in coordination with ASD(HD&ASA) and the CJCS, JDMS.²⁵ The SecDef, through the office of the ASD(HD&ASA), will issue employment orders prior to the Presidential executive order directing the use of troops.²⁶

DOD has delegated to geographic combatant CDRs responsibility for developing Civil Disturbance CONPLANs. Formerly, DOD’s CONPLAN was known as “GARDEN PLOT.”²⁷ The geographic CDRs’ CONPLANs provide guidance and direction for

²⁴ DODD 5111.13, *Assistant Secretary of Defense for Homeland Defense and America’s Security Affairs (ASD(HD&ASA))*. SecDef delegated all previous executive agent assignments for support to civil authorities to the DoD Assistant Secretary of Defense for Homeland Defense and Americas’ Security Affairs (ASD(HD&ASA)). DODD 3025.15 withheld approval authority for civil disturbance operations at the Secretariat level. (Note: DODD 3025.15 and DODD 3025.12 have not been updated to reflect the duties of ASD(HD&ASA). DoDD 3025.dd (DSCA) is pending release and should encapsulate these changes.)

²⁵ If more than a battalion-sized unit is to be pre-positioned, the President must approve the pre-positioning.

²⁶ JP 3-28, *Civil Support* at III-4. See USNORTHCOM CONPLAN 3502 (S) (limdis) and USPACOM CONPLAN 7502 (S) (limdis).

²⁷ GARDEN PLOT was published in 1991. The UCP (2002) moved this responsibility to the regional combatant commands. Changes to the UCP (2008) resulted in NORTHCOM and PACOM having sole responsibility for civil disturbance operation planning. GARDEN PLOT has been replaced by COCOM CONPLANs for the respective theaters.

Domestic JTF Commander Handbook

planning, coordinating, and executing military operations during domestic civil disturbances.

The preservation of law and order is the responsibility of state and local governments and law enforcement authorities.²⁸ NG use of force, while in SAD or Title 32 status, is governed by the law of the state where the operation occurs. Multi-state operations involve a separate RUF for each receiving state. Instances of regional RUF for Title 32 forces occurred during Operation Winter Freeze, NG support to the U.S. Customs and Border Protection's Border Patrol to help prevent illegal aliens from entering the U.S. along a 295-mile stretch of the U.S.-Canadian border during November 2004 through January 2005, and Operation Jump Start, a border security mission conducted during 2006-2007.

7.2.1 RUF for Federal Forces in Domestic Operations

The underlying legal authorities for use of force are grounded in the constitutional role of the Executive Branch of government, and tempered by the constitutionally protected civil rights as listed in the Bill of Rights. Against this backdrop, Congress has imposed a number of statutory provisions that help define and limit this authority. All U.S. military (*i.e.*, Federal, Title 10) domestic use of force authority flows from the powers of the President as granted under the Constitution. The underlying authority of the President to order routine installation force protection and law enforcement could be justified under the President's Executive Powers. The authority to order the military to defend the homeland against overt international aggression can be clearly justified under his authority as the Commander in Chief. Finally, the President's authority to order the military to execute MACDIS operations to enforce federal law and authority has been based on his duties to execute the laws. As officers of the executive, we conduct our operations and derive our authority from the President's constitutional authorities. Similarly, whenever the military uses force to execute the orders of the President and those he appoints, that use of force must be based on constitutional authority. All Executive branch use of force is balanced against the civil rights of the public. While three primary provisions of the Bill of Rights limit federal use of force in domestic operations, the primary focus is on the Fourth Amendment. The Constitutional standard is whether the use of force violated the Fourth Amendment prohibition against unreasonable seizures.

7.2.2 RUF for State Forces in Domestic Operations

The NG is at all times, except when called or ordered to federal active duty, a state government entity. Nowhere is the effect of this constitutionally-derived status greater in domestic NG operations than in NG rules for the use of force.

²⁸ DODD 3025.12, *Military Assistance for Civil Disturbances (MACDIS)*, para. 4.1.3.

Domestic JTF Commander Handbook

- **DOD Policies Generally do Not Apply** - The policies of the DOD and service regulations governing RUF apply to elements of that Department but not to the states. As a result, the law that is the basis for the RUF applicable to the NG of a state while in any status, except federal active duty status, is the criminal law of the state in which a NG unit is located.
- **State Law Applies** - Most NG operations in support of civil authorities are in support of *state* civil authorities and are undertaken on a state-funded status basis, usually referred to as SAD status. These types of operations include relief from natural disasters, quelling of or providing security during civil disturbances and assistance to civil authorities during other state emergencies, such as strikes at state institutions.
- **Exceptions** - The notable operational exceptions to the norm of performing support to civil authorities in SAD status are operations in support of the Olympic Games, and the 2001-2002 NG airport security mission (hereinafter airport security mission), in which thousands of NG personnel provided additional security at hundreds of civilian airports at the request of President Bush following the 11 September 2001 terrorist attacks on the World Trade Center and the Pentagon. Both the Olympic Games missions and the airport security mission were undertaken in a Title 32 status.
- **More than One State Involved** - As explained above, both SAD and Title 32 statuses are non-federal statuses, to which state law applies. As such, each state had to take into account its criminal laws when drafting RUF for the Title 32 Olympic Games missions and the airport security mission, the difference being only that in the case of the two Olympic Games missions, each mission was executed entirely within one state, while the airport security mission was executed in nearly all of the 54 NG jurisdictions. In the case of the airport security mission, over 50 different RUF were used. Although most RUF addressed similar subjects, the specific implementation of these subject areas varied from state to state. It should be noted that RUFs are state unique, and that under EMACs there must be a MOU for LE.

Rules for the Use of Force In Action: Oregon National Guard Operations Plan

The Oregon National Guard has very specific processes regarding the RUF. They present a good example of the type of planning a CJTF should consider in their state. Appendix 12.11 shows an example of a Military Support to Civil Authority RUF Card.

When operating in a DSCA mode, the following Five Step Communication Procedures should be followed when feasible to diffuse any situation:

- 1) Ask (ethical appeal, *i.e.* "This area has been evacuated because of, could I ask you to please leave the area?")
- 2) Set context (reasonable appeal, *i.e.* "Sir, are you aware this area has been closed?")
- 3) Present options (personal appeal, *i.e.* "You can go around the cordon by going back to...")
- 4) Confirm (practical appeal, *i.e.* "Sir, if you do not leave, I will have to arrest you.")
- 5) ACT!

Progressive Use of Force. Force continuum guidelines – This section sets forth the definitions and progressive levels of the force continuum utilized by all Guardsmen.

- 1) Guardsman presence – Compliance is gained through the professional bearing and demeanor exhibited by the Guardsman.
- 2) Verbal – Compliance is gained through tactical communication (the 5 step communication procedure).
- 3) Empty hand/Control Techniques – Compliance is gained through physical contact utilizing authorized techniques to overcome resistance.
- 4) Chemical Agent – Compliance is gained through the use of an authorized chemical agent.
- 5) Strikes and Kicks – Compliance is achieved through the use of empty hand strikes and kicks in accordance with prescribed training.
- 6) Less than Lethal Weapon – Use of an impact weapon to gain compliance.
- 7) Deadly Physical Force – The use of deadly or dangerous weapons in a manner, degree, or to the extent that death or serious physical injury is a reasonable consequence.

Use of Deadly Physical Force (ORS 161.239).

- 1) A guardsman may use deadly physical force when lawfully ordered by their commander (or designated representative) when the commander (or designated representative) reasonably believes the use of such force is necessary to:
 - a) Defend themselves or another person from what the commander (or designated representative) reasonably believes to be the infliction or threatened infliction of serious physical injury.
 - b) Apprehend a person who the commander (or designated representative)

has probable cause to believe has committed, or is committing, a crime involving the infliction of serious physical injury. However, where the suspect poses no threat to others of serious physical harm, the commander (or designated representative) is not justified in using (or ordering the use of) deadly physical force.

- c) Prevent the escape of a person from custody that is believed to be inflicting, or threatening to inflict, serious physical injury as a means of escape. Deadly physical force may be used when and if, where feasible, some verbal warning has been given. "Warning Shots" and "Full Automatic Fire" are prohibited. Discharging a firearm at a motor vehicle constitutes the use of deadly physical force. Weapons will only be drawn, or aimed, under order of the commander (or designated representative). Should any weapon be aimed, or used by a guardsman unable to contact a superior, the event will be reported as soon as possible.

Non-Deadly Use of Force

- 1) Guardsmen will be issued and authorized to carry less than lethal weapons to gain compliance under circumstances when the use of dangerous or deadly weapons is not justified. Examples include handcuffs, zip ties, chemical agent spray (pepper spray), mini flashlight, and baton.
- 2) Guardsmen will only use the least physical force necessary to control a situation.
- 3) Use of these weapons, tools and techniques are not considered use of dangerous or deadly weapons when the manner, degree or extent in which they are used, would not be expected to result in serious physical injury or death.

7.3 Intelligence Collection and Retention in a Domestic Commander JTF

Obtaining and using accurate, relevant, and timely intelligence is essential for the successful conduct of any operational mission. However, rules for the receipt, collection, retention, and dissemination of intelligence are not uniform in all operational environments. In fact, they vary significantly according to the specific authorities under which forces are operating because of the unit's stated mission, foreign policy, constitutional, and privacy considerations. For missions conducted on the homeland that involve forces operating under Title 10 and 32, these issues must be carefully recognized and adjudicated.

Military intelligence units have a very limited role during CS operations other than MACDIS and MSCLEA operations. There are two reasons for the limited role during CS operations. First, the mission of military intelligence units is to collect Foreign Intelligence (FI) and Counterintelligence (CI), neither of which is present in a typical CS operation. Second, military intelligence organizations are generally prohibited from collecting, retaining, or disseminating information about the domestic activities of U.S.

Domestic JTF Commander Handbook

citizens. CDRs and their staffs must carefully consider these restrictions when planning CS operations. Depending on the mission, it may be inappropriate to assign intelligence tasks to subordinate units. To the extent any intelligence tasks are assigned to subordinate units, CDRs must ensure those tasks are narrowly tailored to accomplish an authorized function of the unit concerned and the unit performs those tasks in accordance with applicable law and policy.

7.3.1 Goals

The laws and regulations guiding the intelligence activities of mixed-unit JTFs, made up of both Title 10 and state NG soldiers, are drafted to simultaneously balance two competing goals. The first goal is providing CDRs with timely and accurate intelligence so they can perform their assigned missions, which include: protecting DOD facilities, installations, persons and properties, and preventing, denying, disrupting, countering or coping with transnational threats or NSSEs. The second competing goal is protecting the constitutional rights of U.S. Persons.

7.3.2 Title 10 Forces

- **EO 12333** circumscribes the missions of the Intelligence Community (IC) to foreign intelligence gathering and counterintelligence, and outlines Intelligence Oversight (IO) policies which ensure the protections of the Fourth Amendment to the U.S. Constitution.
- **DODD 5240.01** implements E.O. 12333 for DOD, and is applied through DOD Regulation 5240.1-R, and further in the service specific regulations AR 381-10, AFI 14-104, and AFI 14-119. These documents prescribe the IO framework that enables DOD intelligence entities to perform their missions in concert with the Constitutional protections afforded to U.S. Persons. In the execution of those missions, two conditions must be met. First, it must be necessary to execute the collecting components' assigned functions for foreign intelligence or counterintelligence need and thus enable meeting the unit's mission. (Foreign intelligence entails collecting information regarding the capabilities, intentions, and activities of foreign powers, organizations, or powers. Counterintelligence entails protecting against espionage, sabotage, assassination, etc., conducted by or on behalf of foreign powers, organizations, or persons.) The second condition that must be met is that there is a "reasonable belief" the intelligence relates to a handful of important categories, most normally international terrorism, international narcotics, foreign intelligence, a threat to DOD installations/property/persons, or authorized counterintelligence.

7.3.3 Title 32 Forces

While Title 32 forces in their intelligence unit structures are assets of the IC, the soldiers and airmen are not considered assets of the IC while they are in Title 32 status, although they may be performing a federal mission (*e.g.*, domestic security). They have a more constrained intelligence collection role than Title 10 forces, focusing more on processing

Domestic JTF Commander Handbook

and analyzing intelligence, as well as, functioning as consumers of intelligence. Several key points apply to intelligence activities by Title 32 forces:

- They are equally covered by EO 12333.
- DOD Directive 5240.01 guidance (See above) is made applicable for ANG and ARNG via DOD 5240.1-R and the service regulations. (See references AR 381-10, AFI 14-104 and AFI 14-119.)
- Under DODD 5200.27, EO 12333 is implemented for non-intelligence personnel, units and functions. Title 32 forces can collect information on U.S. persons/entities when there is a direct threat to DOD persons, property, or facilities (essentially in their Force Protection, Anti Terrorism (FP/AT) missions as well as in a law enforcement role).

7.3.4 State Active Duty (SAD)

In this duty status, soldiers and airmen are not members of IC assets or structures and are thus regulated state laws, directives, and guidelines.

7.3.5 The FBI

The FBI is the lead agency for intelligence collection in CONUS for non-DOD persons/organizations, especially as it relates to either: domestic threats to national security (*e.g.*, militia groups) or law enforcement.

7.3.6 Relationships to Other Intelligence Organizations

In general terms, there are three other government entities that may provide intelligence to and receive/intelligence from a Title 10/32 combined JTF:

- **NGB JoCC J-2.** The NGB JoCC J-2 desk is missioned to both receive intelligence from, and provide intelligence to JTFs, as well as other command structures within DOD and the intelligence agencies. They have an established Request for Information (RFI) process and provide liaison to those DOD elements and the intelligence agencies.
- **USNORTHCOM/J2.** USNORTHCOM/J2 will receive intelligence from such a JTF if it relates to foreign intelligence, counterintelligence, or international terrorism and constitutes a direct threat to DOD personnel and facilities. It will provide intelligence to the JTF J-2 that is needed to execute the mission at hand.
- **Law enforcement.** There are two principal sources of intelligence from law enforcement that may provide domestic JTFs with intelligence: the FBI and state and local law enforcement. This will occur if there is a direct threat to DOD personnel or facilities or if the intelligence relates to foreign intelligence or counterintelligence missions.

Other agencies that could be possible sources of intelligence data for all types of events:

- Veterans organizations
- Chamber of Commerce and Better Business Bureau

Domestic JTF Commander Handbook

- Local Utilities and service companies
- Local emergency managers (county and city)
- News Media
- Red Cross, Salvation Army, and other related organizations
- National Weather Service (local service)

N-NC/J2 intelligence activities are carried out in strict compliance with the U.S. Constitution, applicable laws, EO 12333 and applicable DODDs. To this end, written policy and procedures are in place to serve as a baseline for intelligence information concerning U.S. persons, intelligence oversight and how to deal with suspected intelligence oversight violations. The Combined Intelligence Fusion Center (CIFC) serves as the primary office within the N-NC/J2 for collecting, handling and disseminating CI and Law Enforcement Sensitive (LES) intelligence and information. The Counterintelligence Support Officer (CISO) serves as the executive agent for procedures, protocols regarding the handling and use of the CI and LES intelligence and information. Both the CIFC and CISO ensure safeguarding classified and LES information and intelligence in their care, as well as facilitate the orderly and legal flow of redacted and non-redacted counterintelligence and LES information within USNORTHCOM and between USNORTHCOM and Federal, State and local LEAs. This applies only to information with a direct link to terrorism or foreign intelligence threat affecting DOD equities.

Law enforcement derived information, to include LES information, received by the CI/LE section of the CIFC regarding U.S. persons that is not directly related to international terrorism or FI, but is otherwise necessary for other USNORTHCOM components or sections to perform their respective CS mission will be passed directly to those sections in redacted or unredacted form, as appropriate, in accordance with DODD 5200.27, without being passed to the N-NC/J2 intelligence components.

7.3.7 Intelligence Oversight (IO) Responsibility

IO responsibility for the activities of a JTF must be determined at the creation of the JTF and will be determined by the mission statement and assets of the JTF. IO responsibility may rest with the CJTF or with a higher command/supported element. All CDRs have an IO triad available to them; their appointed IO POC, which is an additional duty assigned to one of their intelligence professionals, their Staff Judge Advocate (SJA), and their Inspector General.

7.3.8 Incident Awareness Assessment (IAA)

On a limited basis, DOD may use its ISR assets during a DSCA operation. For domestic missions, the term IAA is used instead of ISR.

The general rule is that you may use ISR assets to conduct only authorized “intelligence activities,” which for DOD intelligence components are (1) foreign intelligence (FI) and (2) counter intelligence (CI). However, the CJCS Standing DSCA EXORD, 10 September

Domestic JTF Commander Handbook

2010, authorizes the use of traditional intelligence asset capabilities to conduct DSCA mission for non-intelligence purposes under seven types of “incident awareness and assessment” (IAA) modules: situational awareness, damage assessment, evacuation monitoring, search and rescue, CBRNE assessment, hydrographic survey, and dynamic ground coordination. Use of IAA assets for activities that fall outside of these seven activities requires separate SecDef approval. [DODD 3025.18, paragraph 4.0, provides that no DOD unmanned aircraft system will be used for DSCA operations unless approved by the SECDEF on a case-by-case bases.] For all purposes, intelligence oversight rules under DOD 5240.1-R apply.

ISR assets may be used by exception for force protection and law enforcement support purposes, but this use also requires specific SecDef approval on a case-by-case basis. Upon approval, DODD 5200.27 and DODD 5525.5 must be followed. In these two cases, the use of these ISR assets will be limited to searching only for direct threats to deployed DOD forces, DOD resources, and DOD installations. Notification of SecDef approval will be sent to NORTHCOM as an EXORD.

Any request for the imagery products of UAS (formerly “UAV or unmanned aerial vehicles) in support of DSCA operations requires the approval of the SecDef (paragraph 4.o. of DODD 3025.18) and compliance with US NORAD and NORTHERN COMMAND (NC) INSTRUCTION (N&NCI) 14-3, Domestic Imagery, 5 May 2009, paragraphs 2 and 3, and the CJCS DSCA EXORD, paragraph 4.D.7. N&NCI 14-3 applies to ALL domestic imagery, regardless of platform (NTM, TACSAT, airborne) or whether manned or unmanned. This includes any UAS providing domestic information at the request of or in support of a NC mission, even if in response to a request from civilian law enforcement agencies.

A CDR seeking domestic imagery products must make a request thru the chain of command to NORTHCOM. Each higher command will recommend approval/disapproval based on a legal review by its attorneys. It is more appropriate for a commander to request a product rather than a capability, platform, or package. NORTHCOM will decide how to get the product to you, but only if the request is approved. Requests for domestic imagery products (not capabilities, platforms, or packages) must be submitted through the JTF to the USARNORTH G2, Collection Requirements Branch, for review and recommendation before further submission to NC/J24. A Proper Use Memorandum (PUM) must also be submitted with each request. A PUM must include a narrative statement in non-technical terms of the intended purpose of the request, the intended use of the domestic imagery, the time frame for collection of new imagery or for the intended use of archived imagery, the supported project/operation/ exercise name, and certifying compliance with Intelligence Oversight rules (N&NCI 14-3, paragraph. 3.2.6.2.).

The request for domestic imagery products, including the Proper Use Memorandum (PUM), must provide ample information in order to justify the request. The required

Domestic JTF Commander Handbook

PUM must be drafted by intelligence personnel supporting the commander making the request (see N&NCI 14-3 for sample). To ensure compliance with intelligence oversight and sensitive information program rules, as well as rules and processes addressing DOD domestic imagery production within the US, each request will be vetted by NORTHCOM with all appropriate Federal and military agencies to determine which agency can best satisfy the request, if any.

Intelligence Operations in Action: Oregon National Guard Emergency Operations Plan

The Oregon National Guard has developed an extensive plan for the operations of all units in an event or emergency. This is extremely helpful when trying to determine the extent to which intelligence operations can take place and with whom intelligence can be passed. Appendix 12.12 provides an example of the Spot Intelligence Report used by the Oregon National Guard to report intelligence. Also, Appendix 12.13 provides a list of questions that should be posed to law enforcement. Below is a sample of the Oregon National Guard's plans concerning intelligence operations.

It is imperative that the collection of intelligence data within the United States falls within the scope of the law. To this purpose there are two distinct collection avenues:

- 1.) The Provost Marshal and Office of Special Investigation (OSI) is responsible for the collection and dissemination of information from the available law enforcement agencies within the United States for potential acts of individual(s) and/or group(s) within the United States.
- 2.) The Intelligence division(s) can be used for collection of information not related to these individual(s) and/or group(s).
 - a.) Identify the extent of damage, weather, avenues of travel, etc. on an affected emergency area.
 - b.) Is there an overt or covert attack in progress against the military installation? This information can be provided to the Provost Marshal/OSI to be provided to law enforcement agency(s) responsible for enforcing the law.
 - c.) Other normal Operational Security issues, etc.

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8. Joint Reception, Staging, Onward Movement and Integration

References: JP 3-35, *Deployment and Redeployment Operations* (7 May 2007)
JP 6-0, *Communications System Support* (20 March 2006)

State References: Since laws and state capabilities may differ from state to state, it is important to remember to research your state's references regarding this topic for more detailed information.

8.1 Chapter Overview

JRSOI provides a common framework to focus joint and service component capabilities on land, sea, and in the air into a coherent operation. JRSOI considers not only the coordination of military forces into an AO, but the integration of these forces into the larger operation (in coordination with state and local bodies). This chapter will review each phase of JRSOI, from joint reception, staging, onward movement and integration. Traditionally, this process has been in place for Outside CONUS (OCONUS) missions, but has a direct correlation to CONUS JTF operations. It is important to note that JRSOI is the CJTF's responsibility, and the CJTF must have the visibility of the deployment flow to control the rate as well as the sequencing and processing of deploying forces.

8.2 Policies and Directives

JP 3-35, *Deployment and Redeployment Operations*, Chapter VI "Joint Reception, Staging, Onward Movement and Integration" is the primary source for JRSOI information and should be referred to as needed. JSROI is the critical link between deployment and employment of the joint forces in the operation area. It integrates the deploying forces into the joint operation and is the responsibility of the supported CCDR. Supported CCDRs are responsible for deployment operations planned and executed in their AORs.

8.3 JRSOI Overview

JRSOI is the last element of the deployment phase for force elements; however, this process can be used in both the deployment and redeployment process. JRSOI includes receiving personnel, materiel, and equipment; and assembling them into units at designated staging sites; moving these units to a destination within the joint operations area or AOR; and integrating these units into a mission ready joint force. Often, these activities are performed concurrently rather than sequentially. They may be performed in a difference sequence, and some steps may even be performed before a deployed unit enters the AOR. It is important to note that the CJTF is responsible for JRSOI. This includes all actions required to make arriving units operationally ready and then integrating them into the joint force.

Domestic JTF Commander Handbook

8.3.1 JRSOI Principles

JRSOI expedites the continuous and controlled flow of forces and supplies into and within the JTF AOR. JRSOI enhances the efficient use of limited assets, personnel, and facilities by avoiding saturation at nodes and along lines of communication (LOC) en route and within the AOR. In order to ensure that a JRSOI process does not fail, a well-planned and carefully managed Time Phased Force Deployment Data (TPFDD) flow is required. The TPFDD is a vital element of the JOPEs. Successful JRSOI is characterized by three overarching principles: unity of command, synchronization, and balance.

- **Unity of Command** specifies that a single military individual is responsible for the overall coordination of JRSOI activities. This individual is the JTF CDR and can adjust resources based upon the deployment flow into the AOR. The CDR also controls the movement of forces within the AOR, provides support to personnel arriving into the AOR, and centrally coordinates the efforts of all other key players in the JRSOI process.

Unity of command differs from unity of effort which emphasizes the need for a variety of military and nonmilitary participants to be directed toward a common purpose. Both approaches are needed to coordinate the efforts of all key players in the JRSOI process.

- **Synchronization** links deployed personnel, equipment, and materiel in a timely manner. Ensuring visibility of assets between processing nodes is key to achieving synchronization of forces. A well-synchronized flow expedites buildup of mission capability and avoids saturation at nodes and along LOCs, thereby enhancing survivability. Synchronization requires detailed joint planning, timely and predictable airflow and seafloor, visibility of assets moving through the distribution pipeline, and the ability to adjust movement schedules.

Synchronization occurs when the right units, equipment, supplies and capabilities arrive in the correct order at the appropriate locations, and supporting activities are coordinated in such a fashion to operate in consonance with one another so that the tempo of force deployment, planning and execution is uninterrupted. This enhances C2 and helps maintain unit integrity. Managing the timing of the TPFDD slow up to the point of movement is a key activity for ensuring that the arrival time of personnel, equipment and materiel coincide.

- **Balance** applies to managing the TPFDD flow by allowing a continuous and controlled flow of forces and supplies into and within the AOR. Balance is achieved by ensuring that people, equipment, materiel, and information flow are directed at a rate that can be accommodated at every point along the entire network from origin to destination.

Continuous flow (balance) is improved by minimizing the number of transfer points, and the number and variety of carriers. By ensuring that people, equipment, materiel and information flow are directed at a rate that can be

Domestic JTF Commander Handbook

accommodated at every point along the network, from origin to destination, saturation can be avoided, survivability enhanced, and balance achieved.

8.3.2 Critical Elements of JRSOI

In order to achieve the JRSOI principles: unity of command, synchronization and balance, JRSOI relies upon the following essential elements:

- Command Control, Communications, Computers and Intelligence (C4I)
- Force Protection

These elements combine in various ways under differing circumstances to make the operations associated with JRSOI possible.

Command, Control, Communications, Computers, and Intelligence (C4I)

C4I is the means by which the CJTF maintains unity of command to balance and synchronize joint force activities and achieve mission success. JRSOI requires effective C4I system with responsive leaders and managers. C4I systems must link the CJTF, service components, deploying units, JRSOI support organizations, and tactical CDRs who will integrate deploying forces into their commands. Reporting and information systems should provide accurate, relevant, and timely information to the appropriate staffs and leaders to plan, integrate, direct and execute their assigned part of the JRSOI operation.

Effective C4I must be responsive to the CJTF for deployment and JRSOI management. The CJTF must be able to influence the outcome of the deployment. [For detailed joint C4I planning guidance, see JP 6-0, *Doctrine for Command, Control, Communications and Computer (C4) Systems Support to Joint Operations*]²⁹

Force Protection

Force protection is an essential element of joint force operations. CJTFs must ensure that requisite force protection measures are enforced consistent with the threat. For JRSOI, the challenge is to protect those figures configured for deployment that are geographically dispersed and possess limited self-protection capability. Risk must be assessed and comprehensive force protection plans developed to address vulnerabilities and to counter potential threats to forces, infrastructure, and information systems. The CJTF's foremost force protection concern should be maintaining local security to preserve tactical and operational flexibility and freedom of action.

Force Visibility

Force visibility is continuous situational awareness regarding the movement status of personnel, supplies, equipment and possibly patients. It is a critical element of JRSOI.

²⁹ JP 6-0, *Communications System Support* (20 March 2006), at iii and D-1, supersedes JP 6-0, *Doctrine for Command, Control, Communications, and Computer (C-4) Systems Support to Joint Operations* (30 May 1995) and JP 6-02, *Joint Doctrine for Employment of Operational/Tactical Command, Control, Communications, and Computer Systems* (1 October 1996).

Domestic JTF Commander Handbook

Force visibility is primarily, but not exclusively built and maintained from the following elements: Unit Movements, Asset Visibility, In-Transit Visibility, Automated Identification Technology, and Total Asset Visibility.

8.4 Best Practices

The following JRSOI OPLAN is still in DRAFT form and is considered as an example for the CJTF's use.

-DRAFT-

JRSOI OPERATIONS PLAN ____-__

REFERENCES:

XXXX OPORD dated _____.

TASK ORGANIZATION: (See Appendix 001)

SITUATION: This JRSOI Plan establishes and provides the concept of operations and lanes of responsibility for the State of XXXXX to RECEIVE, STAGE, ONWARD MOVE and INTEGRATE (JRSOI) military support from sources outside of the state in order to properly integrate them into the state's emergency operations.

• Assumptions:

- The JRSOI site will be under the control of the XXXXX at the Intermediate Staging Base (ISB) in TBD.
- Units and Soldiers/Airmen will arrive via convoy or air with organic transportation and with prescribed load list items.
- Units will be assigned missions within ## hours of arrival and sent onward not to Exceed ## hours.
- Contract meals will be provided
- Rest Overnight (RON) sites will be manned and supported by armories and stay behind personnel assigned to those armories in locations TBD.
- Will be prepared to conduct a reverse JRSOI (if needed).

MISSION: on order, the XXXXXXXXXX JTF conducts JRSOI operations for military forces at a location TBD.

EXECUTION:

INTENT: Receive and rapidly integrate military forces into

Domestic JTF Commander Handbook

ongoing Domestic response operations within a ## hour period.

KEY TASKS:

- Conduct early communication with incoming units.
- Capture and distribute unit essential information.
- Conduct Rules of Engagement briefing and Use of Force Briefing (RUF).
- Establish and maintain effective communications
- Provide life support services.
- Provide service support.
- Provide force protection.

ENDSTATE: Incoming units are safely and rapidly integrated into ongoing emergency operations throughout the state.

CONCEPT OF THE OPERATION:

- 6 Phases:

| Phase | Responsible Unit | Tasks |
|-----------------------------|------------------|--|
| Phase 1: Initial Link-up | Task Force JRSOI | <ul style="list-style-type: none">• Link up/ share pertinent information• JRSOI provides:• Refueling locations• Coordinate Air and Ground movement• ISB Locations• Rest overnight "RON" information• Personnel accountability• Military pre-deployment information<ul style="list-style-type: none">- Incoming units provide essential information:<ul style="list-style-type: none">▪ Unit Designation, UIC, & Alpha roster▪ Contact information POC list▪ Transportation Method, Start Point and Estimated Time o |

Domestic JTF Commander Handbook

| | | | |
|------------------------------------|---------------------------|--|--|
| | | <ul style="list-style-type: none"> Arrival <ul style="list-style-type: none"> ▪ Life support requirements ▪ RON requirements ▪ Equipment on hand ▪ Individual weapons ▪ Communications capabilities ▪ Fuel Trucks ▪ Advance party | |
| Phase 2: Reception | Task Force JRSOI | <ul style="list-style-type: none"> • En-route linkup (Mobile JRSOI Team) • Receive advance party • Move personnel and equipment to staging areas, provide incoming orientation briefings • Receive the main body • Coordinate Air and Ground movement • Submit closure report | |
| Phase 3: Staging | Task Force JRSOI | <ul style="list-style-type: none"> • Conduct Life Support and Service Support • Provide medical support • Provide series of briefings • Current Operations • Mission Briefings • Use of Force • Rule of Engagement • Safety <ul style="list-style-type: none"> - Final prep for onward movement • Maps • Convoy Briefings • Communications • Law Enforcement • Points of Contact List • Validate unit Basic Load | |
| Phase 4: Onward Movement | Incoming/ Gaining Unit | <ul style="list-style-type: none"> • J-3 directs movement of unit(s) and materials from reception facilities and staging areas • Advance party moves to link up with gaining unit. • Main body departs to link up | |

Domestic JTF Commander Handbook

| | | | |
|---|--------------------------------|---|--|
| | | <div>with gaining unit</div> <ul style="list-style-type: none">• Units submit closure report• Planning, Routing, Scheduling and Control of Personnel and Cargo over lines of communication maintaining in-transit visibility and force tracking (air and ground) | |
| Phase 5: Integration | J-3/ Task Force JRSOI | <ul style="list-style-type: none">• Conduct mission hand off with gaining unit• Synchronize transfer of authority over units and forces | |
| Phase 6: Reverse JRSOI (if required) | Task Force JRSOI | <ul style="list-style-type: none">• Conduct clearing operations• Personnel accountability• Maintenance (if needed)• Provide rest overnight• Provide subsistence• Process unit and equipment for return | |

Rest overnight "RON" Sites: TBD by J3.

JJRSOI Sites: A Single site is established for JRSOI operations. Initial or Intermediate Staging Bases (ISB) may be established as necessary

Tasks to subordinate elements:

J1:

- Maintain arriving unit alpha roster and duration.
- Share personnel related information with JTF XXX and JoCC.
- Maintain JRSOI TDA

J2:

- Provide arriving units with maps of the affected areas.
- Provide road closure information.
- Law Enforcement
- Situational awareness briefings

J3:

- Conduct initial link up and capture JRSOI essential information.

Domestic JTF Commander Handbook

- Provide current situation report briefing to arriving forces
- Coordinate Onward Movement and integration with gaining unit within 24 hours of reception.
- Coordinate for Air Movement and control of Air assets

J4: Provide the following logistics support:

- Contract feeding for JRSOI and RON sites.
- Bulk and packaged POL for the JRSOI site.
- Contract trash removal for JRSOI sites.
- Cots for JRSOI and RON sites (est. 2000).
- Maintenance support at JRSOI sites.
- Recovery operations for convoy movements.
- Sanitation at JRSOI.
- Contracts with truck stops for refuel (if necessary) at locations TBD.
- Coordinate transportation for units who arrive by air.
- Maintain property accountability of JRSOI equipment.
- Develop Main Supply Route. (See Appendix 002)

J6:

- Provide the following equipment to the XXX Leadership.

| Total Rqd | Qty On Hand | Qty Short | Unit of issue | Item |
|-----------|-------------|-----------|---------------|--------------------------|
| X | 0 | 0 | Ea | State 800mz Radios |
| X | 0 | 0 | Ea | Cell phones |
| X | 0 | 0 | EA | Blackberries |
| X | 0 | 0 | EA | HF Base Station |
| X | 0 | 0 | EA | NIPR internet connection |
| X | 0 | 0 | EA | FAX machine |

- Provide RCAS connectivity for the ISB TOC.
- Create JRSOI SOI and telephone list.

SJA:

- Provide JAG support at the JRSOI site to conduct Rules for the Use of Force (RUF) and Rules of Engagement (ROE) briefings.
- Be prepared to support Mobile JRSOI teams with RUF briefings.

PAO:

Domestic JTF Commander Handbook

- Manage all media inquiries and visits.
- Receive and manage all arriving PAO assets.

Facility Support Cell:

- Provide C2 over physical security
- Responsible for real estate management (billeting and vehicle parking)
- Manage fuel point(s)
- Manage Dining Facility
- Provides all ISB/Base support operations.

MEDCOM:

- Provide medical aid stations with ambulance at JRSOI site.
- Identify regional hospitals to handle injuries during movements.
- Provide Medical Intelligence when required.

SAFETY OFFICER: Provide information regarding hazardous conditions in affected areas.

J8: Identify and capture all military related costs and initiate reimbursement action when required.

COORDINATING INSTRUCTIONS:

- TBD

SERVICE SUPPORT:

General.

- Class 1:
 - Ration Meals: Breakfast (hot) - Lunch (cold) - Dinner (hot)
 - Plan for 10 lbs. of ice per person for daily issue per JRSOI
- Bulk potable water will be available at the JRSOI site.
 - Class 3:
- X gallons of JP-8, Diesel, and MOGAS at 24 hour refuel site(s) within the JJRSOI site.
- Pre-stock packaged POL at the JJRSOI site.

Domestic JTF Commander Handbook

- Class 5 - As Required for Mission.

- Class 6:

- Contact AAFES to open a deployed exchange at JRSOI sites.
- Sanitation and daily cleaning services required at the JRSOI site.

- Class 7:

- Number of GSA or rental vehicles to support LNO teams and JRSOI operation.
- Number of portable light set trailers at each JRSOI for lighting
- Number of dumpsters per JRSOI site with on call service.
- Number of Generators to support JRSOI and ISB locations.

- Class 9:

- Units will bring own Prescribed repair parts. JTF will assist units with local purchase if required.

- **Maintenance:**

- Supporting units will provide organizational level maintenance.
- Direct Support maintenance available at CSMS

- **Medical Support:**

- First Aid station available at JRSOI and ISB
- Medical Dispensary available for other medical support.

- **Transportation:**

- Organic transportation will be utilized to the greatest extent possible.
- JRSOI will coordinate ground transportation for units that arrive by air.
- Coordinate Air Space Management/ Airlift C2/ Aerial Port requirements through the J3 and ANG.

- **Safety:**

- Daily Risk assessments will be conducted and reviewed by the command.
- Reports will be generated in compliance with SITREP schedule.

COMMAND AND SIGNAL

Domestic JTF Commander Handbook

- JoCC located at XXXXX, phone _____.
- JRSOI command, located at site TBD, phone _____.
- JTF XXXXX TOC located at XXX, phone _____.
- **Signal (see Appendix 003)**
- Primary means of communications is commercial telephone and cell phones.
- Alternate means is 800 MHz radios. See Annex TBD for frequencies and call signs.

XXXXXXXXXXXXXXXXXX
JTF COMMANDER

OFFICIAL:

Appendix:

Appendix 001: Task Organization (TBD)
Appendix 002: Main Supply Route Overlay (TBD)
Appendix 003: Signal Plan (TBD)

Part 3: Transition and Redeployment

9. Transition Planning

References: CJCSM 3500.05, *Joint Task Force Headquarters Master Training Guide*
JP 3-0, *Joint Operations* (17 September 2006, incorporating change 1 (13 February 2008))
JP 5-0, *Joint Operations Planning* (26 December 2006)
JP 3.27, *Homeland Defense*, 12 July 2007
JP 3.28, *Civil Support*, 14 Sep 2007
CJCSM 3122.01 JOPES VOL I
CJCSM 3122.03 JOPES VOL II
State References: Since laws and state capabilities may differ from state to state, it is important to remember to research your state's references regarding this topic for more detailed information.

9.1 Chapter overview

In order to understand when the time is ready for transition or possible redeployment, there should be a clear end state, or what the accomplished mission would look like. This visualization begins in the planning phase and is consistently reviewed throughout the JTF Life Cycle. This chapter reviews the steps necessary to achieve the end-state and the transition and eventual withdrawal of troops in the area and back to the normal state.

9.2 End State Visualization

During the planning stage the Domestic JTF Commander should be visualizing the force's current state and achieving a clear understanding of this state. The CDR should also be visualizing the end state. End state is defined as the representation of mission accomplishment and the key tasks that move the force from its current state to mission accomplishment. The end state should not be confused with transition criteria that terminate the JTF. Basic principles of the end state include:

- End state conditions must contribute to the end of the crisis or event that is on terms favorable to the state and federal government.
- The basic element of the end state is maintaining/gaining control of the situation and having the desired result over the particular situation.

There are several questions asked when determining the end state. Among them are:

- Where are we now?
- What is the mission?

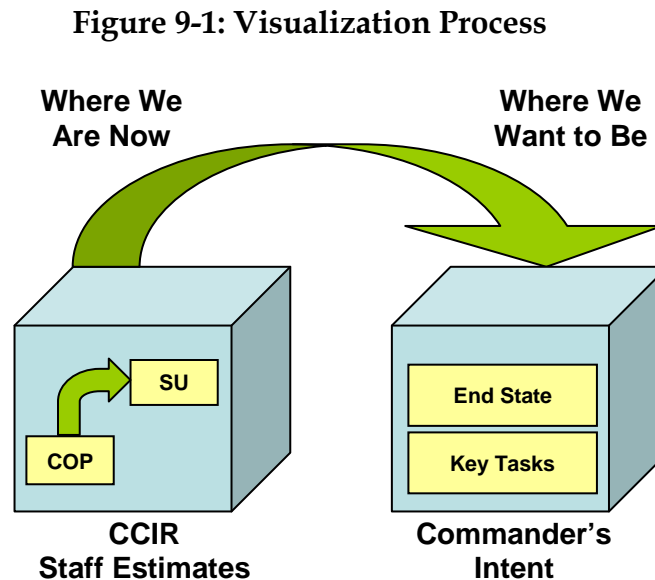
Domestic JTF Commander Handbook

- What is the environment like? (This can include geography, weather, friendly or hostile civilians in the area, etc.)
- Where do we want to be?
- What capabilities are available?
- How much time is available to get there?
- How do we get there?

This process is illustrated in Figure 9-1.

End state planning does not stop with the production of an order. It is a continuous and adaptive process. Since situations (or the information available about them) continuously change, plans are revised as time allows.

Accurately predicting an operation's outcome is difficult. Anticipating the many possible contingencies, especially those far in the future is more difficult. As planners develop a solution to a problem, the problem changes. Continuous planning enables organizations to adjust from an existing CONOPS based on a common understanding of the situation and the expected result.



9.2.1 End State Visualization and the JTF Life Cycle

During the forming and planning phases, plans are revised based on new information. Feedback from unit back briefs and rehearsals may also initiate changes to the plan. During deployment and employment, plans are revised based on the assessed progress of the operation and new information. Anticipated branches and sequels, initially formulated during the planning stage, are assessed and updated for possible execution. Anytime during the operations process, unanticipated threats or opportunities may significantly change the situation, requiring the planning process to restart and a new plan developed. Continuous assessment, reflected in staff running estimates, is key to ensuring plans are revised and remain relevant to the situation. During the planning phase, initial termination criteria to ensure civilian authorities can continue the mission are essential.

Domestic JTF Commander Handbook

9.3 Transition Plans

The transition plan is established to identify task force organization, operating procedures, and transition recommendations and considerations to return to normal civilian operations. In implementing the transition plan, the JTF should discuss criteria for transferring operations with civil authorities involved. The plan should be unclassified, clear, and concise, without military jargon. One method of transitioning is by function. Another method is by locale. If possible, the transition process should be event-driven and not tied to calendar dates. Functions or areas would transfer only when the civilian capability becomes available or the military capability is no longer needed. Procedures for transfer of equipment or supplies, to civilian authorities must be determined in this plan. JTF planners must identify fiscal guidance, reconstitution of assets, and availability and use of operations and maintenance funds.

Several functional areas identified for transition include logistics, medical services, communications, local security, and engineer services. The JTF should develop a series of criteria on transition to be able to track the progress being made.

This process may be measured by a statistical analysis of trends; for example, return of local populations after a crisis or emergency situation. Figure 9-2 gives a sample of what the transition plan phases would look like.

Figure 9-2: Transition Phases

Phase I: Civilian authority reestablishes itself as the primary supplier of services in the area (e.g., roads are cleared via local/state vehicles and employees/contractors, waste removal is conducted by local/state employees/contractors, etc.)

Phase II: Civilian authorities assume C2. State/local functions begin assuming the responsibilities and duties of the JTF. C2 is established and functioning.

Phase III: Withdrawal of JTF. Nonessential JTF forces are withdrawn from the area. Normalcy resumes.

Transition Planning in Action: International Water Purification

While this example is on an international level, the issue is one that can be transferred to the state level quite easily.

THE NEED FOR TRANSITION PLANNING

In Rwanda, after the 1994 genocide, the provision of potable water was critical to saving thousands of lives. While the Armed Forces of the United States perhaps have the greatest capacity to purify water, this service could not be provided indefinitely. Effective interagency coordination enabled the identification of other sources of reverse osmosis water purification units, associated equipment, support funding, and mutually agreed-upon timelines and procedures for transitioning from military support to International Government Organization (IGO) and NGO control. Also in 1994, in Haiti the well-conceived transition planning, performed as part of overall interagency coordination, provided for superb transition execution and management. This transition enabled the Armed Forces of the United States to hand over responsibility for key tasks to other agencies, departments, and organizations in a virtually seamless manner.

Various Sources

(JP 3-08)

9.4 Termination of the JTF Operation

Properly conceived termination criteria are key to ensuring that achieved JTF objectives endure. The CJTF must consider the nature and type of event, the strategic end state, and the potential risks of JTF termination in order to ensure that the event will come to a favorable end. Termination of an NSSE could take place immediately after the particular event has ended, or when dignitaries have left the area. In a crisis incident, the termination could be when the immediate crisis (*e.g.*, flooding, hurricane, etc.) has ended, or when normalcy has returned to the area. Termination plans can be designed by the CJTF to cover the transition to post emergency activities and conditions as well as disposition of military forces. Operation plans and termination plans should normally be prepared together, with the termination plan included as a supporting plan to the operation plan.

To facilitate the development of effective termination criteria, it must be understood that the JTF must follow through to enable civil authority to achieve the leverage sufficient to impose a lasting solution. If the termination criteria have been properly set and met, the necessary leverage should exist to prevent adverse effects from occurring.

The termination is met when the end state will represent a point in time or circumstance beyond which the President and Governor does not require the military instrument to achieve the remaining objectives of the strategic end state.

9.5 Redeployment

When termination conditions have been or will soon be met, JTF operations are concluded and the transition of C2 has occurred or will soon be occurring. The Joint

Domestic JTF Commander Handbook

Forces Headquarters must control the redeployment of forces. Redeployment is normally conducted in stages – the entire JTF is unlikely to redeploy. Redeployment activities may include:

- waste disposal
- port operations
- closing of contracts and other financial obligations
- disposition of contracting records and files
- clearing of major roadways
- ensuring the appropriate civil agencies are enabled to complete their functions after the departure of the JTF

To ensure that the preparation for redeployment results in an ordered, secure redeployment in which personnel and equipment are prepared, the following steps should be followed:

- a) Review/Confirm Redeployment Mission
 - i) Identify forces/services to be redeployed.
 - ii) Identify preparation/support of personnel
 - (1) Health services
 - (2) Uniform replacement (if required)
 - (3) Personal equipment turn-in
 - (4) Religious ministry support
 - (5) Legal Support
 - (6) Personnel Services support
 - (7) Personnel and personal equipment inspections
 - iii) Describe operational support for redeployment
 - iv) Describe intelligence support for redeployment
 - v) Identify timing/other constraints for redeployment
 - vi) Conduct financial resource preparation for redeployment
- b) Develop the Redeployment COA
 - i) Support the continuing mission of the JTF, transition headquarters, or other remaining authority.
 - ii) Identify order/priority for redeployment
 - iii) Assign redeployment headquarters and staging areas
 - iv) Determine disposition of joint force equipment
 - v) Identify echelonment of redeploying command, control, communications and computers (C4) to maintain a capability for renewed operations until all designated forces are redeployed.
 - vi) Provide for the security of redeploying and remaining forces

Domestic JTF Commander Handbook

- c) Analyze the redeployment COA
 - i) Probable civil/environmental conditions
 - ii) Transportation requirements/capabilities
 - iii) Unit preparation schedules and abilities
 - iv) Identify advantages/disadvantages for each COA

Overall, it is important to remember that this is not necessarily the end of a JTF. As seen in the transition phase, the cycle simply moves full circle back to the forming and planning phases.

Exit Strategy In Action: Florida Summer Storms 2004

During the severe hurricane season in 2004, the FLNG established exit strategies at the start of the operation based on quantitative analysis, and coordinated with local authority by each task force or Battalion Commander as early as possible. They coined the term “right-sizing” to refer to exit strategies necessary to disengage from disaster response operations.

For example, Commanders developed and maintained situational awareness on the status of roads, electricity, water, traffic signals, distribution site through-put, and many other relevant indicators in establishing right-sizing criteria.

The exit strategy should be based upon an “End State” for FLNG forces (when power is restored, when the traffic signals are repaired, etc.) and the availability of alternative sources for the services/support (volunteer organizations, local/state law enforcement, etc.) as agreed to by local and state agencies. This allows FLNG forces to disengage as soon as possible and prevent “mission creep.” The FLNG follows a “last in – first out” principle since local authorities are many times hesitant to release FLNG and other state assets because of the assistance they are providing their citizens and the lack of local financial cost for this resource.

10. Lessons Learned

References: CJCSI 3150.25D, *Joint Lessons Learned Program* (10 October 2008)
NGB Joint Lessons Learned Working Group/Steering Committee Charter
(17 January 2007)

State References: Since laws and state capabilities may differ from state to state, it is important to remember to research your state's references regarding this topic for more detailed information.

10.1 Policies and Directives

CJCSI 3150.25D, *Joint Lessons Learned Program*, defines the lessons learned methodology as a “knowledge management process established to enhance joint warfighting through discovery, knowledge development, implementation and sharing of lessons from joint operations, training events, exercises and other activities. It contributes to joint capabilities integration and development, other DOD issue resolution and transformation processes.”

10.1.1 CJCSI 3150.25B Processes

At all levels of focus, lessons learned elements possess lesson discovery, knowledge development and implementation capabilities. Figure 10-1 illustrates the various levels of focus. Note that the CJTF's input typically takes place at the tactical and/or operational level.

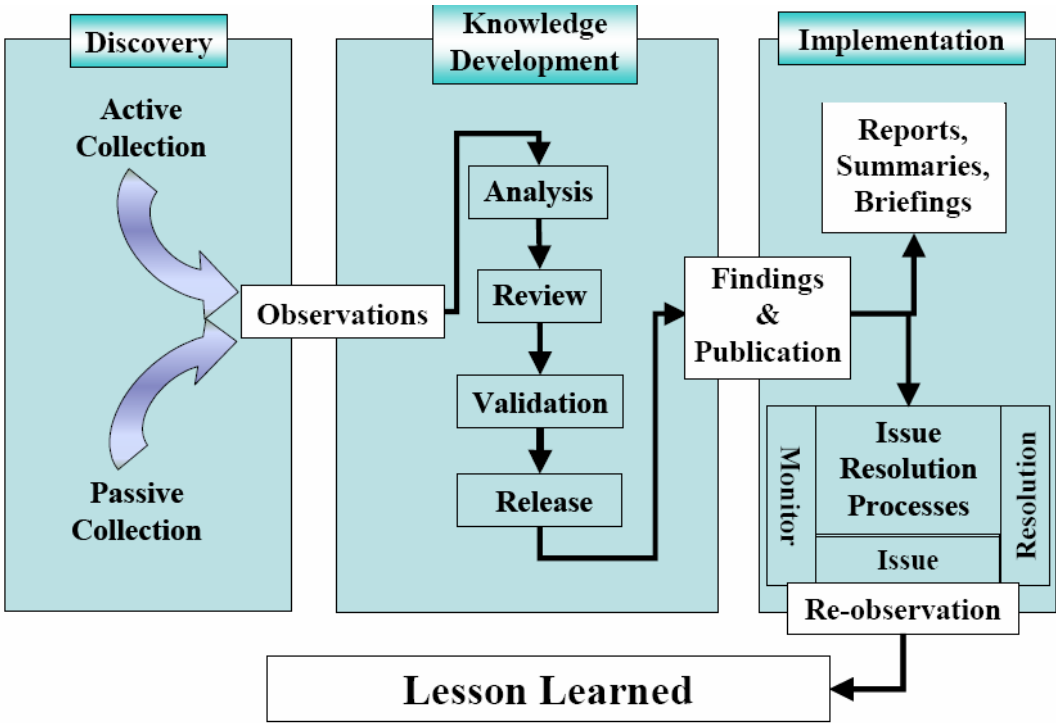
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Figure 10-1: Summary of Lessons Learned Focus, Organizations, Activities and Products

| Focus | Organization | Activities | Products | Core Customers |
|---|--|---|--|--|
| Strategic-Level Joint Lessons Learned | Joint Staff J-7 | JLLP Policy and Guidance Small Scale Active Collection GOSC | JLLP CJCSI/Doctrine/TTP Strategic LL Reports Joint Staff LL Action Plan DCR Inputs | SecDef / OSD CJCS / Joint Staff Combatant Commands Services Combat Support Agencies |
| Operational-Level Joint Lessons Learned | USJFCOM | Integrated Analysis Large Scale Active Collection | Integrated Operational LL Observations, Findings, Recommendations and Reports | SecDef / CJCS Joint Staff and Combatant Commands |
| Operational-Level Joint / Command Lessons Learned | Combatant Commands Services Combat Support Agencies | Analysis Small Scale Active / Large Scale Passive Collection Command LL Database Service LL Database | Operational LL Reports LL Database Inputs DCR Inputs Command and Service-Level Internal Issue Resolution Inputs | SecDef / CJCS and Combatant Commands Services Combat Support Agencies |
| Tactical-Level Lessons Learned | Combatant Commands Services Combat Support Agencies | Analysis Small Scale Active / Large Scale Passive Collection Command LL Database Service LL Database | Tactical LL Reports LL Database Inputs DCR Inputs Command and Service-Level Internal Issue Resolution Inputs | Combatant Commands Services Combat Support Agencies |

Under CJCSI 3150.25D, *Joint Lessons Learned Program (JLLP)*, there are three phases to lessons learned: Discovery, Knowledge Development, and Implementation. This is illustrated in Figure 10-2.

Figure 10-2: JLLP Process Overview



Domestic JTF Commander Handbook

10.1.1.1 Discovery Phase

Discovery activities include initial information gathering regardless of source or approach. Such information exists in initial summaries, reports and observations. At this point, discovered information is characterized as a lesson observation. An observation is unrefined and not validated but is under consideration for additional review and analysis. The outputs from the discovery phase are observations and supporting contextual documentation. These activities occur via two collection approaches: passive and active. While each approach possesses distinct characteristics, both contribute to a more comprehensive JLLP discovery process.

Active collection consists of activities specifically generated to collect information on specific operations, training events or other activities and is conducted on-scene to include:

- Direct observations
- Interviews
- Surveys
- Collection of information focused on the event vice general collection of all information
- The capability to perform an initial analysis of collected data
- Providing direct and immediate feedback to the CDR

Active collection lessons learned teams may be established at any level (strategic, operational or tactical) from any organization (Joint Staff, COCOM, or Service) to cover operations, training events, exercises or other activities. Note that all active collection lessons learned activities within a CJTF's AOR will be coordinated with and approved by the supported command before deployment and throughout collection activities to minimize disruption and support requirements imposed on the supported command.

Active collection lessons learned activities may be generated externally through the following means. First, the Chairman of the Joint Chiefs of Staff or the SecDef may direct establishment of an active collection lessons learned effort to focus on a specific real-world operation, training event, exercise or experiment. Second, a COCOM may request active collection lessons learned support, either in the form of augmentation support for internal command active collection activities, or as a full package, externally-generated, active collection lessons learned activity. Or, third, a lessons learned organization may request permission from the supported command to establish an active collection lessons learned effort.

Along with active collection, there is a passive collection methodology which consists of reviewing information from outside sources generally focused in three information classes:

- After-action reports;
- Information collected via all-source collection tools; and

Domestic JTF Commander Handbook

- Information collected via individual inputs from participants and trainers

The NGB Lessons Learned Branch collects observations daily from all Subject Matter Experts observing staff areas to determine any (positive or negative) trends/issues/best practices that may be occurring within the AOR in this phase. An example of the Observation Collection Form is provided in Figure 10-3.

10.1.1.2 Knowledge Development Phase

This phase consists of analytic and review activities necessary to convert observations into validated findings. Reviews by analysts to ensure observation completeness, by subject matter experts to ensure functional relevance and by organization representatives to provide validation may occur during this phase. Outputs from the knowledge development phase are validated findings.

While knowledge development activities may be conducted using different approaches, the basic process steps of analysis, review, validation and release must take place for each finding before submittal to issue resolution processes, or inclusion in publications, reports, summaries, briefings and analyses.

The first step in this process is observation analysis, which begins when observations are passed from the discovery phase. This transfer of observations activity is significant as it acknowledges that raw observations may change in context, content, conclusion and applicability during knowledge development. These observations are then reviewed and validated as being suitable for use by the joint force as findings. It should be noted that every effort must be made to ensure that observations, findings and recommendations are shared as widely as possible even if selected elements are deleted or withheld.

These observations, which have now been developed into findings are released into the implementation phase.

In this phase, the NGJLLWG works with the NGB Lessons Learned Branch to process and analyze observations, assign primary responsibility/point of contact, determine if

Figure 10-3: Observation Collection Form

OBSERVATION COLLECTION FORM
Observer Worksheet

Date

AGENCY/POC:

ISSUE:

DISCUSSION:

RECOMMENDATION:

OBSERVER: NAME AND PHONE NUMBER:

Attachment 1

Domestic JTF Commander Handbook

observation impacts DOTMLPF, prioritize issues, recommend corrective action, track, and provide monthly briefs to the NGB staff.

10.1.1.3 Implementation Phase

Implementation consists of publishing validated and released findings designed to modify behavior, support issue resolution processes, provide contextual information for education, training, exercise and operations planning and serve as material for additional research and analysis. In this phase, any issue resolutions take place and a final publication of Lessons Learned takes place.

The NGJLLSC may take part in this and/or the knowledge development phases. They will provide guidance for the particular issue being worked and recommend closing the issue when actions are completed.

Overall, the NG Bureau publishes the After Action Report and Lessons Learned within ninety (90) days of the completed mission. The report includes the following:

| Item | Typical Page Length | Item Focus |
|-------------------|---------------------|-----------------------------------|
| Executive Summary | 1-2 Pages | Major Findings of the AAR |
| Report Summary | 5-10 Pages | All findings with recommendations |
| Observations | No page limit | Format of observations gathered |

Lessons Learned In Action: Ardent Sentry/Positive Response 06

The National Guard Bureau has a number of lessons learned. Below is the executive summary from the Ardent Sentry/Positive Response 06 exercise. For more Lessons Learned Executive Summaries view Section 12.16.

Ardent Sentry/Positive Response 06

EXECUTIVE SUMMARY

The Ardent Sentry 06/Positive Response exercises provided the National Guard an opportunity to assess their Joint Mission Essential Tasks (JMETs) and Training Objectives in various venues across the country. Ardent Sentry 06 scenarios included a category 3 Hurricane (Xena) and levee failures in New Orleans, human-to-human spread of Avian Influenza, possible terrorist attacks, pneumonic plague outbreak and 2 Radiological Detonated Devices. The Positive Response Capabilities/ Planning Exercise emphasized the roles and responsibilities of the Department of Defense during a pandemic flu, the Joint Staff’s Homeland Defense/Homeland Security, incident management procedures, T10-T32 relationship and Defense Support Civil Authorities. Several issues were identified during the exercise requiring action to ensure the National Guard is ready for domestic disaster responses.

The internal Request for Information / Request for Assistance (RFI/RFA) process was

Domestic JTF Commander Handbook

confusing and cumbersome. The National Guard Bureau Joint Operating Center (NGB JOC) and Adaptive Battle Staff (ABS) did not fully understand the internal processes to identify, track, and respond to a RFI/RFA. The lack of a clearly understood RFI/RFA process by the NGB JOC and the ABS lead to delayed responses to many requests. Additionally, external report requirements were not clearly identified and several report formats were not standardized. The lack of report standardization caused the NGB to provide overdue reports to outside organizations.

The collaborative communication tool, Joint Information Exchange Environment (JIEE), did not have the capability to quickly capture all pertinent data during the exercise. An event timeline is the most important historical document used to evaluate events and provide a quick reference for a specific point in time. A timeline needs to identify who, what, when, where, why, and how of actions external to the National Guard (Above-The-Line) and reactions to those actions taken by the National Guard (Below-The-Line).

Shortly into Ardent Sentry 06, the exercise scenario was accelerated prohibiting the National Guard to effectively execute training objectives planned for by the National Guard Bureau and participating State National Guard units. The acceleration of the exercise caused great frustration for Michigan and limited their overall role.

Liaison Officers proved once again they are a valuable asset for situational awareness and common operating picture develop throughout an event. The Liaison Officers provided by the National Guard Bureau to Michigan provided real time updates and lessons learned to the Michigan leadership. An observation made during the exercise was the absence of National Guard Bureau Joint Operation Center and USNORTHCOM Joint Operation Center liaison officers at each other's Joint Operation Centers.

Communicating information on the proper information system has continued to be an issue. Unclassified information must be transmitted on NIPR, while secret information must be transmitted on SIPR. Collateral information must be transmitted on JWICS. Several times during the exercise, information could not be shared with first responders and other agencies because the information was transmitted on the incorrect system. This practice hinders the flow of information to the organizations who can act on it.

Under ASD-HA policy "Mobilized" National Guardsmen are currently included in Tier 5 of a 6 Tier Tamiflu distribution plan. The National Guard is NOT included under most State Tamiflu distribution plans and therefore will not receive Tamiflu from the States. In order for the National Guard to remain mission capable during an Influenza Pandemic, it is critical that the National Guard be included in the DOD Tamiflu distribution plan. Given the "First Responder Status" of the National Guard it is highly recommended the National Guard personnel mobilized in SAD/T-32 or T-10 status for Pandemic response be included in Tier 2-C.

Part 4: JTF Staff Considerations

11. Command and Control

11.1 Joint Command Relationships

11.1.1 Methods of Assignment of Forces

11.1.1.1 Assigned. Combatant commanders exercise combatant command (command authority) over assigned forces. Forces are assigned or reassigned when the transfer of forces will be permanent or for an unknown period of time, or when the broadest level of command authority is required or desired. Assigned forces are listed in the Forces for Unified Command Memorandum or as the SecDef designates. A force assigned to a combatant command may be transferred from that command only as directed by the SecDef.

11.1.1.2 Attached. In joint operations, attached forces and resources are placed under the operational control or tactical control of a CDR or other JFCs for a relatively temporary situation. A force attached to a combatant command may be transferred from that command only as directed by the SecDef.

11.1.1.3 Apportioned. In the general sense, apportionment is the distribution for planning of limited resources among competing requirements. Specific apportionments (such as air sorties and forces for planning) are described as apportionment of air sorties and forces for planning, and so forth. The GFM guidance apportions major combat forces for contingency planning. They may include those assigned and those expected through mobilization. They may be more or less than the forces actually allocated for Crisis Action Planning (CAP). During force planning, CDRs assume that apportioned forces will be made available for execution.

11.1.1.4 Allocated. In the general sense, allocation is the distribution at execution of limited resources among competing requirements for employment. Specific allocations (such as air sorties, nuclear weapons, forces, and transportation) are described as allocation of air sorties, nuclear weapons, and so forth. Allocated forces and resources are those provided by the President or SecDef for CAP. The allocation of forces and resources is accomplished in JOPES orders. Allocated augmenting forces become assigned or attached forces when they are transferred to the receiving CDR. GFM supports allocation in support of

Domestic JTF Commander Handbook

specific requests for capabilities and forces as well as allocation in support of combatant command rotational force needs.

11.1.2 Command Relationships

- **Combatant Command (COCOM).** **Source of Authority:** Nontransferable command authority established by Title 10 (“Armed Forces”), *i.e.*, 10 U.S.C. § 164, and the Unified Command Plan when approved by the President. COCOM is the authority vested in CDDRs to command their forces. It cannot be delegated or transferred to other CDRs. COCOM provides full authority to organize and employ commands and forces as the CDDR considers necessary to accomplish assigned missions. CDDRs exercise COCOM through CDRs of JTFs, service component CDRs, functional CDRs, CDRs of subordinate unified commands, single-service force CDRs, and directly over specific operational forces that are directly under the CCCR. Under COCOM, CDDRs exercise directive authority for logistics, but may delegate this authority. Exercise of this authority includes the authority to issue directives to subordinate CDRs when necessary to ensure effective execution of approved Operations Plans (OPLANs) (See example in Appendix 19.5), effectiveness and economy of operations, prevention or elimination of duplication of facilities and overlapping functions. In time of war or crisis, this authority enables the CDDR to use all facilities and supplies of the forces assigned or attached to the COCOM as he sees fit to ensure mission accomplishment. In peacetime, this authority will be consistent with peace time limitations imposed by competent authority (*e.g.*, the SecDef, the President, and Congress).
- **Operational Control (OPCON).** **Source of Authority:** SecDef, CDDR or other CDR empowered to do so. OPCON is exercised at any level below the COCOM. It empowers the CDR to perform necessary command functions including organizing and employing forces provided in OPCON status, assigning tasks to those forces, designating objectives, and giving authoritative direction. It includes the authority to delineate functional responsibilities and assign geographic areas of operations. OPCON includes authoritative direction over all aspects of military operations and joint training necessary to accomplish missions assigned to the command. It does not include authority to provide direction for logistics and administrative matters, the administration of discipline, the authority to change the internal organization of the unit, or the authority to require or supervise unit training. Normally, OPCON is exercised through component CDRs.
- **Tactical Control (TACON).** **Source of Authority:** JTF assigning the authority. TACON is the command authority over assigned or attached forces or commands or military capability made available for tasking that is limited to the detailed direction and control of movements or maneuvers within the operational area necessary to accomplish assigned missions or tasks. TACON is

Domestic JTF Commander Handbook

inherent in OPCON and may be delegated to and exercised by CDRs at any echelon at or below the level of COCOM.

- **Support. Source of Authority:** JTF designates the proper amount of support and the relationship between those requiring and supplying support. Support is command authority and denotes a relationship between a superior CDR and his subordinate CDRs in cases where one or more organizations should aid, protect, complement, or sustain another force. It may apply at any echelon, including COCOMs. The President and SecDef may establish supporting and supported relationships between COCOMs for planning and executing operations. CDRs may establish supporting and supported relationships between force assets to execute specific tasks, clarify priorities, provide additional capabilities to a subordinate force, or combine/focus the effects of similar efforts. CDRs of supported forces usually have the latitude to exercise general direction authority over the supporting force(s) unless specifically directed otherwise by the CDR who establishes the authority for the relationship. General direction includes the authority to assign targets or objectives, establish schedules, and take other actions as needed to ensure efficiency and effectiveness. Establishing directives should provide for purpose and scope of the support; specify forces and resources; designate time, place, level, and duration of the effort; establish priorities; identify authority of the supporting force to modify the supporting effort, if any; and specify the degree of authority granted to the supported CDR over the effort. There are four types of support relationships:
 - **Mutual Support:** That support which units render each other against an enemy because of their assigned tasks, their position relative to each other and to the enemy, and their inherent capabilities.
 - **General Support.** That support which is given to the supported force as a whole and not to any particular subdivision thereof.
 - **Direct Support.** A mission requiring a force to support another specific force and authorizing it to answer directly to the supported force's request for assistance.
 - **Close Support.** That action of the supporting force against targets or objectives which are sufficiently near the supported force as to require detailed integration or coordination of the supporting action with the fire, movement, or other actions of the supported force.
- **Administrative Control (ADCON).** Direction or exercise of authority over subordinate units or other organizations in respect to administration and support, including organization of Service forces, control of resources and equipment, personnel management, unit logistics, individual and unit training, readiness, mobilization, demobilization, discipline, and other matters not included in the operational missions of the subordinate or other organizations.
- **Coordinating Authority. Source of authority:** Delegating CDR. Coordinating Authority describes a consultative relationship between subordinate CDRs, not a

Domestic JTF Commander Handbook

command authority. It is usually delegated for specific purposes, functions, or activities. A CDR who has been given coordinating authority has the authority to require consultation between activities, but he cannot compel agreement among them. Coordinating Authority is more applicable to planning and other non-operational activities than it is to operations.

- **Direct Liaison Authorized (DIRLAUTH).** **Source of Authority:** Delegating CDR. DIRLAUTH is authority to directly consult or coordinate with a command or agency outside of the granting command. Like Coordinating Authority, it is more appropriate for non operational matters, although it may be beneficial in cases in which JTF personnel must coordinate with non military activities. It does not grant authority to command or direct other activities.
- **Training and Readiness Oversight (TRO)** is the authority that CDRs exercise over Reserve Component (RC) forces when those forces are not on active duty or when they are on active duty for training. RC forces may be assigned to CDRs by the "Forces For" memorandum. However, CDRs do not exercise COCOM over those forces until they are mobilized or ordered to active duty for other than training. CDRs will normally exercise TRO over assigned reserve component forces through the service component CDRs.
- **Apportioned and Allocated Forces.** Apportioned forces (and other resources) are assets distributed for planning purposes. These forces may not be available to CDRs when the plan is implemented. Allocated forces (and other resources) are assets that are committed to the force for execution.

11.2 Domestic Commander JTF Staff Organization

11.2.1 Key Staff Functions

Fundamental staff functions that will most likely appear in many JTFs include:

- **The Chief of Staff.** One of the most critical selections a CJTF will make is that of Chief of Staff. Because of the complex nature of JTFs and their missions, the role of the Chief of Staff is vital to ensure that the staff is organized and operates effectively, that it maintains appropriate interfaces within the JTF and with key organizations external to it, and that procedures and processes are understood and adhered to by all staff members. They must be capable of anticipating future requirements, overseeing the activities of the staff with minimal supervision and guidance from the CDR, advising the CDR, providing useful and effective guidance to the staff, integrating the efforts of diverse staff sections, and representing the CDR with senior staffs, including TAGs, State Governors, USNORTHCOM and the Joint Staff. The Chief of Staff should be a senior officer who has served as a chief of staff previously whenever possible; however, at a minimum, they should be a war college graduate and have attended Joint Professional Military Education courses.

Domestic JTF Commander Handbook

- **Information Managers.** JTF Chief of Staff or another senior staff member should be designated the command's knowledge manager and should have an experienced officer as an information manager. The knowledge and information managers prepare an information management plan that describes information requirements (IRs); identifies sources and matches them to requirements; and describes process to obtain, process, and disseminate information. The information manager is responsible for the COP and situational awareness and understanding. They must continually update information available to decision makers and their staffs, disseminating appropriate information to component commands and to supporting and supported organizations (both military and non military). Information managers must take the initiative to determine what kinds of information is required by the JTF, identify the sources for it, establish JTF procedures for acquiring it, ensuring it is complete and relevant, and disseminating it in a timely manner to the right information consumers.
- **Liaison Officers (LNOs).** LNOs are the personal and official representative of the sending organization or agency and should be authorized direct face-to-face liaison with the CJTF. LNOs supporting a JTF headquarters can provide a conduit of critical information to the entire JTF staff. While it is important that the LNO is recognized as having the ability to provide this wealth of information to the staff, it is important to understand that the LNO's management structure or chain of command is different from that of augmentees to the JTF staff. LNOs remain under the control of the sending agency or organization. LNOs, whether individually or in teams, perform four basic functions: *monitor, coordinate, advise, and assist*.
 - **Monitor.** The LNO must monitor the operations of both the JTF and the sending organization and understand how each affects the other. As a minimum, the LNO must know the current situation and planned operations, understand pertinent staff issues, and be sensitive to parent CDRs and the CJTF's desires. Additionally, to lend insight to the sending CDR, the LNO must monitor the "operating styles" of the CJTF and staff. These observations help the LNO maintain a smooth working relationship between the sending organization and the JTF Headquarters. The LNO must possess the training and experience to understand the JTF staff process. LNOs must routinely assess where they need to be during the daily operations cycle in order to stay abreast of the current situation and keep the sending organization headquarters fully informed.
 - **Coordinate.** The LNO facilitates synchronization of current operations/future plans between the sending organization and the JTF. The LNO does this through coordination with other LNOs, members of the JTF staff, and the parent command. LNOs should routinely meet with staff officers and CDRs in the JTF headquarters and readily know how to contact them. The LNO must anticipate JTF IRs. LNOs can provide advance

Domestic JTF Commander Handbook

warning of JTF IRs to allow for maximum lead-time available to prepare products. In some cases, LNOs can provide the required information from sources already available, thus reducing the demands and tasks communicated to their parent commands. To further assist the information flow between commands, the LNO should review message addresses and distribution lists to ensure the proper routing of official correspondence between commands. An LNO is an important catalyst, facilitating effective coordination between staffs. However, it's important to realize that an LNO's work is not a substitute for proper JTF-component staff interaction. Staff-to-staff coordination will always be essential at all levels to ensure unity of effort. Similarly, established C2 procedures (such as fragmentation orders (FRAGORDs), warning orders (WARNORDs), and alert orders (ALERTORDs)) are the proper method for communicating specific orders and tasks.

- **Advise.** The LNO is the JTF's expert on the sending organization's capabilities and limitations. The LNO must be available to answer questions from the JTF staff and other units. As such, the LNO advises the CJTF and staff on the optimum employment of the sending organization's capabilities. Simultaneously, the LNO must always remember they only have authority to make decisions that the sending organization CDR authorizes. LNOs must exercise caution to ensure that they do not obligate the sending organization to taskings that are beyond the specified charter or should be forwarded through normal C2 channels.
- **Assist.** The LNOs must assist on two levels. First, they must act as the conduit between their command and the JTF. Second, by integrating themselves into the JTF as a participant in the JTF daily operations cycle (the daily briefings/ meetings sequence, sometimes referred to as the "battle rhythm"), the LNOs can answer questions from various groups (Joint Targeting Coordination Board (JTCB), joint planning group (JPG), command group, etc.) to ensure those groups make informed decisions. The LNOs facilitate the submission of required reports from their unit to the JTF.

Each staff directorate at the JTF level should also appoint an information manager and subordinate JTF elements should do the same. Information managers should be assigned responsibility to ensure that various technical systems used for information flows are adequate and available to those involved in information exchange.

Another early task for information managers is to determine the compatibility of various systems within the JTF and between the JTF and other activities (military and non military). Where systems are incompatible (*e.g.*, between the JTF and the state Police, or between the JTF and nongovernmental organizations), workarounds must be established and disseminated.

11.2.2 Impact of the Interagency (IA) / Intergovernmental (IG) / NonGovernmental (NGO) on staff structure.

JTFs will have unique IRs for reporting and liaison based on the situation and mission. They will also be required to provide information to and receive information from nontraditional external sources.

As part of the information management plan, staff sections should be assigned responsibility for maintaining contact and receiving and disseminating information, requests, and instructions related to their functional duties. It is also important to identify the roles and responsibilities of organizations that will be supported by the JTF and of those organizations whose support is required by the JTF in order to accomplish its mission. Responsible staff sections should ensure they have connectivity with these organizations through procedures established by the Chief of Staff.

The effectiveness of the JTF CDR's relationships with these organizations depends to a large extent on the ability to coordinate and collaborate with them. At the foundation of this effort, CJTFs and staffs must understand the nature of the relationship and that IA/IG/NGO activities have their own chains of command, their own objectives, and their own missions. Often, the missions of these organizations align with those of the JTF, however, there may be some mismatches, seams, gaps, or redundancies that prevent mirror imaging. In some cases, IA/IG/NGO missions may contravene JTF missions or complicate their accomplishment in other ways.

Because CJTFs can exert little direct influence over IA/IG/NGO activities, this conundrum imposes special requirements on the CDR and the chief of staff, especially in situations in which all or part of the IA/IG/NGO community operates independently. Liaison personnel must be capable of seeking information from these organizations, passing it to the appropriate node in the JTF, and providing information from the JTF to the IA/IG/NGO to which they are accredited. Because it is likely that almost all JTFs will be required to interact, coordinate, and collaborate, with some or all of these organizations, CDRs and chiefs of staff must plan to do so as a matter of course – or risk debilitating complications in performing their missions.

11.2.3 Common Operational Picture (COP)

11.2.3.1 Role of the Information or COP Manager.

Because source information changes frequently and some IRs are situationally-dependent, a COP manager is responsible for surveying current and potential information and deciding whether it belongs within the COP. The challenge is to harmonize this internal and interrelated network of COPs to provide the proper top-level COP for executive decision makers and other stakeholders. COP management is more art than science. The COP manager must be capable of making decisions about the COP based on his or her judgment in the context of the decisions that primary stakeholders will make. Therefore the COP requires full-time management by a government representative who is intimately familiar with the decision-making style

Domestic JTF Commander Handbook

and IRs of key stakeholders. An effective COP manager should not be concerned with slide-building. Rather the COP manager should be an experienced military officer or government employee who understands and anticipates IRs generated from the organizational mission, priority of stakeholder IRs and the CDR's concept. They must have access to senior decision makers as well as the legitimacy and authority to elicit the appropriate information from subordinate and supporting elements. To enable the COP manager, a COP management team is essential. This team of ideally 4-5 personnel assists the COP manager in the design, assembly, portrayal, distribution, review and adjustment of the COP. The term "COP management" incorporates these functions.

11.2.3.2 The COP Management Cycle

There are five general steps in the COP management cycle. Though portrayed as discrete steps, the management cycle may not occur sequentially; steps may overlap or occur quickly.

11.2.3.2.1 Design

To design the COP, the COP manager must first understand who the organizational stakeholders are. Because resources are limited affecting the COP manager's ability to collect every piece of information, the COP manager must also understand the priority of each stakeholder. This understanding is essential to planning the optimal approach to COP development. After clearly identifying the stakeholders and their levels of importance, the COP manager must then identify their IRs beginning with the most important stakeholder. With a clear idea of IRs and priority, the COP manager then designs the plan for the rest of the COP management cycle, to include how the information will be collected, portrayed, shared and reviewed.

11.2.3.2.2 Assemble

In this step, the COP management team executes the manager's plan according to the IRs and level of priority. Database management and manipulation are important ingredients in this step as are the usage of other technologies that will be described in the later sections.

11.2.3.2.3 Portray

How the COP is portrayed depends again on the needs of the stakeholders. The CDR may require IRs to be displayed in the form of briefing slides. Other stakeholders may prefer a portal that provides them with the opportunity to capture and utilize underlying data for their own COPs. These requirements are part of the IR identification stage. The COP manager is responsible not only for understanding what information is required, but determining how best it should be displayed.

11.2.3.2.4 Share

This step entails distributing information to each stakeholder in the form most useful to that stakeholder. This step could occur via e-mail, a telephone call, or more complex

Domestic JTF Commander Handbook

systems such as Geospatial Information Systems (GIS). The COP manager should seek to understand how the stakeholder needs to view the information.

11.2.3.2.5 Review / Validate

In this step, the COP manager reviews the COP to determine if it accurately reflects up-to-date and projected stakeholder IRs. This is a dynamic process intended to improve the COP and its manner of construction, based on experience, wargaming risk assessment and internal suggestions. As part of this step, the COP Manager should host exercises and scenario discussions to continue developing insights while practicing and training how to make adjustments to the COP.

11.2.3.3 COP Technologies

There are many technologies that facilitate each step in the COP management process. The COP manager must continuously assess if the technology used optimizes COP management. Table 11-1 provides descriptions of some COP technologies used by USNORTHCOM and NGB.

Table 11-1: COP Technologies Used by USNORTHCOM and NGB

| Technology | Description | Users and Primary Purpose(s) in the context of the COP |
|--|---|---|
| Global Command and Control System (GCCS) | GCCS is a joint approved C2 system capable of providing personnel at distant locations access to data and management of near real-time information depicting force disposition (threat, neutral, and friendly forces), strength and readiness. GCCS provides the capability to establish and maintain a robust network of linked systems, allowing immediate distribution of orders, guidance, maneuver graphics, and other information critical to planning, execution and evaluation. The GCCS Server Gateway enables multiple GCCS clients to access a COP database. | GCCS enables personnel to exchange friendly and threat force visual information. It also enables users to plot air, land, maritime and CS unit locations, determine required routes and display coordination measures using overlays. Both USNORTHCOM and NGB use this technology to assemble, portray and share COP data. |
| Geospatial Information Systems (GIS) | GIS is comprised of information systems and applications used for capturing, storing, analyzing and displaying geographically referenced information. | This technology is used to portray geographic-specific information in the COP. Both USNORTHCOM and NGB use GIS to portray COP data. |

Domestic JTF Commander Handbook

| Technology | Description | Users and Primary Purpose(s) in the context of the COP |
|---|---|--|
| Defense Collaborative Tool Suite (DCTS) | DCTS is a flexible suite of collaboration tools consisting of Microsoft NetMeeting, shared file systems, and at times, desktop Video Teleconference (VTC) providing the capability for several personnel to simultaneously collaborate on documents with voice capability. DCTS is available through the SIPRNet US ONLY and Releasable to Canada (RELCAN) networks and will be available between NGB Directorates and staff sections and their counterparts at other Civil Support Agencies with SIPRNet access. | This technology is used by USNORTHCOM and NGB for collaboration, data storage and data updates. |
| Mardam-Bey Internet Relay Chat (mIRC) | mIRC is a Commercial-off-the-shelf (COTS) Internet Relay Chat (IRC) client providing a virtual meeting place where personnel meet on "channels" to talk in groups, or privately. It provides users the capability to monitor (or participate) and log several discussions at once. | Common NGB and USNORTHCOM uses include threat/event response, intelligence, status of forces (for those channels with access), sharing situational awareness between NGB and components. |
| Joint Intelligence Task Force for Combating Terrorism (JITF-CT) RISSNet Information Exchange System (JRIES) | The JRIES portal is a secure community environment that allows users to collaborate in real-time. A Defense Intelligence Agency (DIA) tool, it has three major components: View Documents, Terrorism Sites, and News. There is a keyword searchable database of agency documents, maps, spreadsheets, persons of interest, information papers, etc, relating to terrorism, infrastructure, and other agency related issues. | Common NGB and USNORTHCOM uses are by the J2. JRIES provides a capability to develop a detailed analysis on any area of operation (AO), infrastructure or event for input to the COP. |
| Joint Worldwide Intelligence Communications System (JWICS) | JWICS is the sensitive compartmented information portion of the DISN that incorporates advanced networking technologies that permit point-to-point or multipoint information exchange involving voice, text, graphics, data, and VTC. | The NGB and USNORTHCOM use JWICS to assemble and distribute COP data. |
| Dynamic Synchronization Event Log (DSEL) | DSEL provides a dynamic, succinct, and free flow of information about events and actions taken or required from CDRs, decision makers, centers, cells, and subordinate elements of North American Aerospace Defense Command (NORAD) and USNORTHCOM | This technology provides users the ability to collaborate in near-real time. It enhances COP data assembly and distribution. |

Domestic JTF Commander Handbook

| Technology | Description | Users and Primary Purpose(s) in the context of the COP |
|---|---|---|
| Operations Tracking and Readiness System (OTRS) | OTRS provides situational awareness of all operations by the National Guard throughout the several states and territories. | The NGB uses this technology to assemble the COP as it pertains to state operations. |
| Joint Operations Portal | The Joint Operations Portal is a data mining system that allows users to link various websites and files in order to automatically update secondary websites and files. The portal also provides file and web link storage capabilities. | The NGB uses this portal to enable COP data assembly and distribution. The NGB has deployed this portal to various states (JFHQ-S). |
| Joint Information Exchange Environment (JIEE) | JIEE is the information sharing component of the Joint Continental US (CONUS) Communications Support Environment (JCCSE), being used based on authoritative guidance of the USNORTHCOM-NGB JCCSE Concept for Joint C2 Coordination and Communications (C4). | NGB JoCC, USNORTHCOM, JFHQ-State, JTF-State use JIEE to track RFIs and RFAs, and to report information to/from the State JFHQs. |
| Joint Capabilities Database (JCD) | The JCD is a situational awareness tool that identifies and catalogs domestic response capabilities of the National Guard within each state and territory. It is an unclassified database for conducting analysis of each state and territory's capabilities measured against state requirements. | The NGB J5 is the JCD proponent. |

12. Planning

12.1 The Joint Operation Planning Process (JOPP)

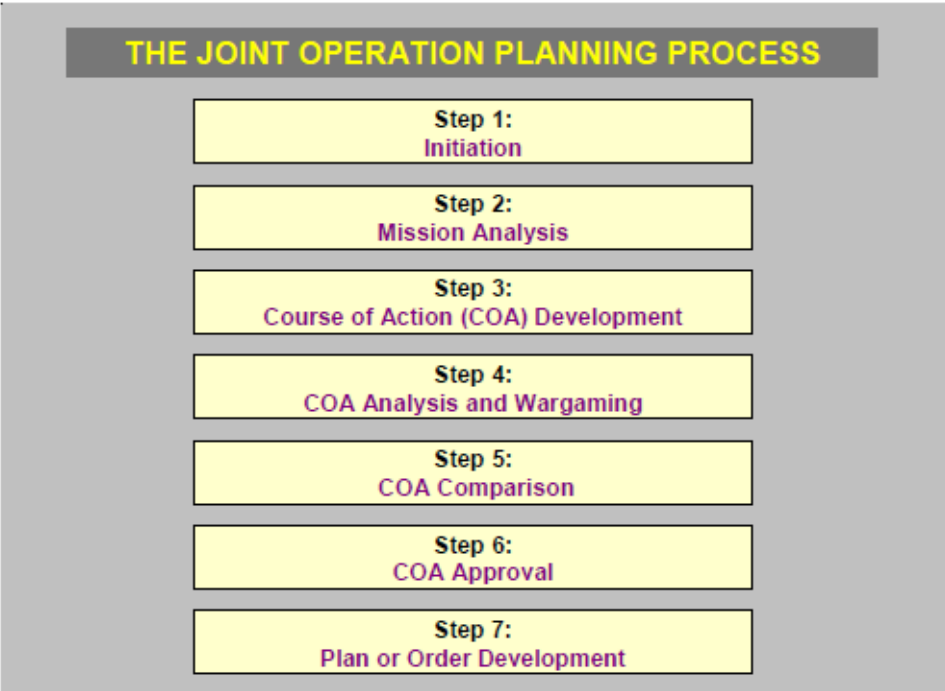
Joint operation planning is the overarching process that guides joint force commanders (JFCs) in developing plans for the employment of military power within the context of national strategic objectives and national military strategy to shape events, meet contingencies, and respond to unforeseen crises.

KEY TERM

joint operation planning -- Planning activities associated with the preparation of joint operation plans and operation orders for the conduct of military operations by joint force commanders.

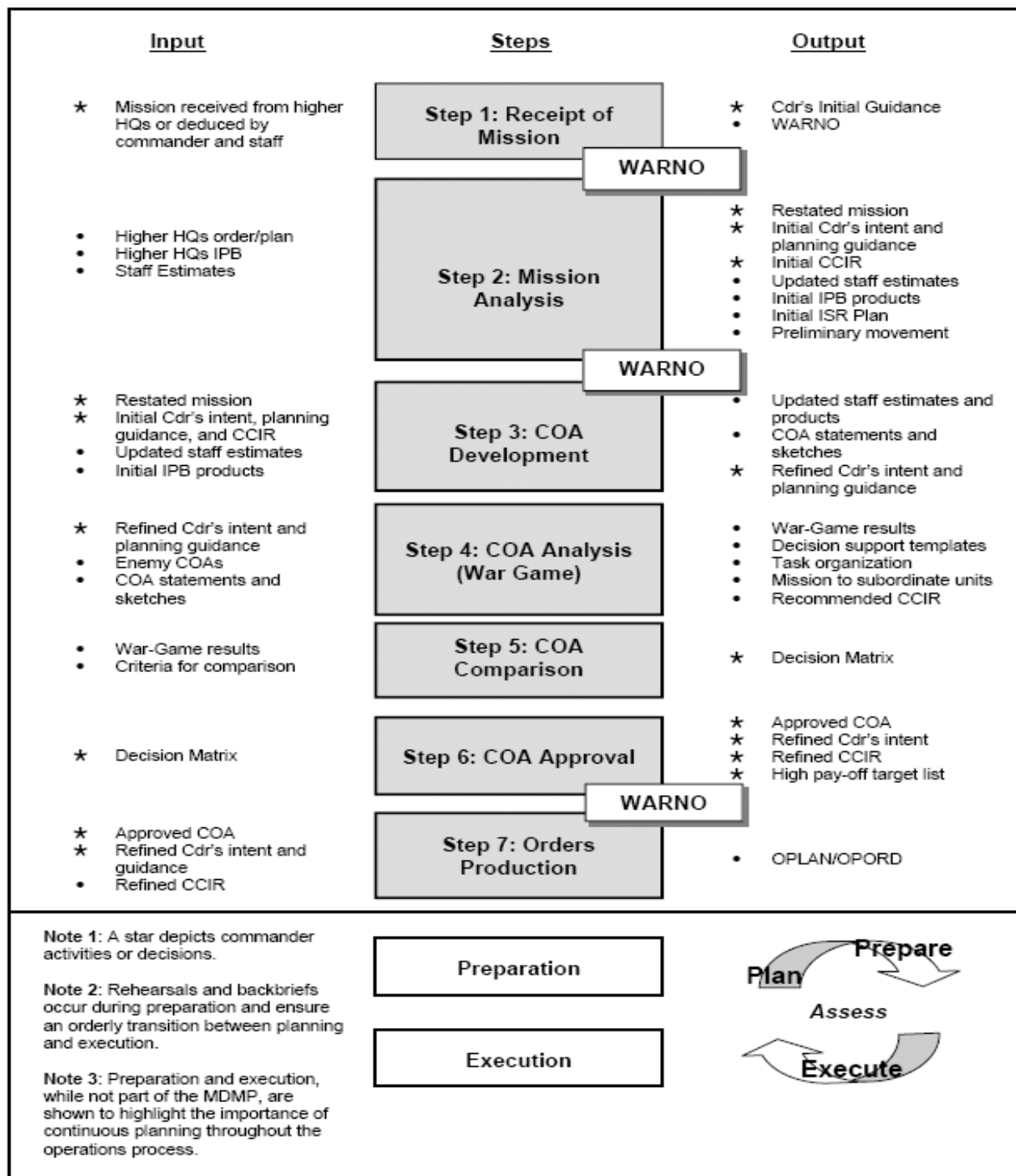
Joint operation planning blends two complementary processes. The first is the JOPP. The second process is operational design. Similar to the *military decision planning process* (MDMP), as shown below in Figure 12-2, JOPP consists of a set of seven steps, as depicted in Figure 12-1.

Figure 12-1: Joint Operation Planning Process (JOPP)



Domestic JTF Commander Handbook

Figure 12-2: Military Decision Making Process (MDMP)



Domestic JTF Commander Handbook

JOPP begins with planning initiation, and moves through mission analysis, COA development, COA analysis and wargaming, COA comparison, COA approval, and plan or order development. Each step begins with inputs that build on previous steps. The outputs of each step drive subsequent steps. Errors committed early affect later steps. While the formal process begins with the receipt of a mission and has as its goal the production of an order, planning continues throughout the operations process.

JOPP provides the foundation on which planning in a time-constrained environment is based. Before a staff can effectively abbreviate the JOPP, it must master the steps of the full JOPP. The advantages of using the full JOPP are:

- It analyzes and compares multiple COAs to identify the best possible friendly COA.
- It produces the greatest coordination and synchronization in plans and orders.
- It minimizes the chance of overlooking critical aspects of the operation.
- It helps identify contingencies for branch and sequel development.

The disadvantage of using the full JOPP is that it is time-consuming. The longer the higher headquarters spends planning, the less time for subordinates to plan, prepare, and execute operations.

JOPP is deliberate, sequential, and time-consuming, but can be as detailed as time, resources, experience, and situation permit. All steps and sub-steps are used when enough planning time and staff support are available to thoroughly examine two or more COAs.

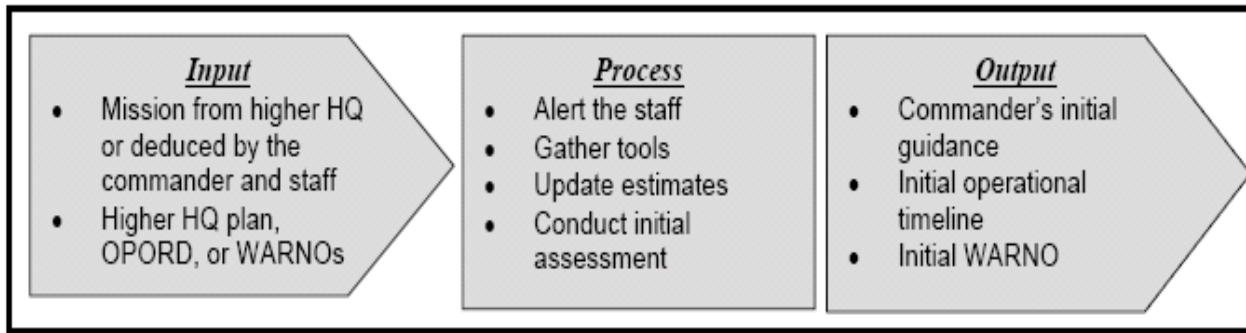
12.2 JOPP Process

12.2.1 JOPP Process: Initiation (MDMP – Step 1: Receipt of Mission)

Planning Initiation. JOPP begins when an appropriate authority recognizes a potential for military capability to be employed in response to a potential or actual crisis.³⁰ At the strategic level, that authority — the President, SecDef, or CJCS — initiates planning by deciding to develop military options. In MDMP, this first step is known as *Receipt of Mission*. With regard to MDMP, this step begins with receiving or anticipating a new mission. This can come from an order issued by higher headquarters or be derived from an ongoing operation. When a new mission is identified, CDRs and staffs perform the process actions and produce outputs shown in Figure 12-3.

³⁰ JP 5-0, *Joint Operation Planning*, Chap. III “The Joint Operation Planning Process”, para. 11a.

Figure 12-3: Receipt of Mission (MDMP)



As soon as a unit receives a new mission, the operations section alerts the staff of the pending planning requirement. Unit standing operating procedures (SOPs) are a set of instructions covering those features of operations which lend themselves to a definite or standardized procedure without loss of effectiveness. Supporting and attached units obtain and review the unit SOP to ensure they understand their responsibilities. If the CDR wants to use collaborative planning, participants from subordinate units are also notified. As noted above in Figure 12-3, the steps taken to complete this process and prepare for the next step, mission analysis, are:

1. Gather the tools
2. Update Staff Estimates
3. Perform an Initial Assessment
4. Issue the Initial Guidance, and
5. Issue the Initial WARNORD

Gather the Tools

In this step, the staff prepares for mission analysis by gathering the tools needed to perform it. These tools include but are not limited to:

- The higher headquarters order of plan and operational graphics (When possible, each staff section receives a copy of the higher headquarters base order or plan, task organization, their functional annexes, and a copy of the operational graphics)
- Maps of the AO
- Both their own and the higher headquarters' SOPs
- Appropriate field manuals
- Current staff estimates
- Other materials and products required

Update Staff Estimates

Domestic JTF Commander Handbook

While gathering the necessary tools for planning, each staff section begins updating its estimate – especially the status of support and resources. While this task is listed at the beginning of the JOPP, developing and updating staff estimates is continuous throughout the operations process. During planning, staff members monitor, track, and aggressively seek information important to their functional area. They assess how this information affects COA development and any recommendations they make. After the plan is approved, staff officers continue to monitor the situation and update their estimates in the form of running estimates. They pay particular attention to how new information or incidents affect recommendations and evaluations made during their initial estimate.

Perform an Initial Assessment

The CDR and staff perform a quick initial assessment.

A critical product of this assessment is the initial operational time line. This time line includes allocation of available time for planning, preparing, and executing the operation. CDRs generally allocate a minimum of two-thirds of the available time to subordinate units for planning and preparation. This leaves one-third of the time for the CDR and staff to do their own planning.

An important component of the operational time line is the staff planning time line. The chief of staff/executive officer or a representative outlines how long the staff can spend on each JOPP step. The planning time line indicates when certain products are due and to whom. It includes times and locations for meetings and briefings. It serves as a benchmark for the CDR and staff throughout the planning process.

Table 2-2 depicts a generic planning time line for a division. It shows how much time can be devoted to each JOPP step, based on the time between receipt of mission and execution. This sample time line is based on the one-third/two-thirds rule, and uses the following percentages to determine the amount of time allocated to each step:

- Mission Analysis – 30%
- COA Development – 20%
- COA Analysis/comparison/decision – 30%
- Orders production – 20%

The “R” in Table 12-1 represents receipt of mission time. All R + times represent the time that the action should be completed.

Domestic JTF Commander Handbook

Table 12-1: Generic Planning Time Line for a Division

| | Time Available Before Execution | | | | | | | | | |
|---|---------------------------------|------|----------|------|----------|-------|----------|-------|----------|-------|
| | 8 hrs | | 24 hrs | | 48 hrs | | 72 hrs | | 96 hrs | |
| | Time For | R + | Time For | R + | Time For | R + | Time For | R + | Time For | R + |
| Mission Analysis | 0:45 | 0:45 | 2:24 | 2:24 | 4:48 | 4:48 | 7:12 | 7:12 | 9:36 | 9:36 |
| COA Development | 0:30 | 1:15 | 1:36 | 4:00 | 3:12 | 8:00 | 4:48 | 12:00 | 6:24 | 16:00 |
| COA Analysis/ Comparison/ Decision | 0:45 | 2:00 | 2:24 | 6:24 | 4:48 | 12:48 | 7:12 | 19:12 | 9:36 | 25:36 |
| Orders Production | 0:30 | 2:30 | 1:36 | 8:00 | 3:12 | 16:00 | 4:48 | 24:00 | 6:24 | 32:00 |
| Total Time Used | 2:30 | | 8:00 | | 16:00 | | 24:00 | | 32:00 | |

Issue the Initial Guidance

Once time is allocated, the CDR determines whether to use the full JOPP or to abbreviate the process. Time, more than any other factor, determines the detail to which the staff can plan.

Issue the Initial WARNORD

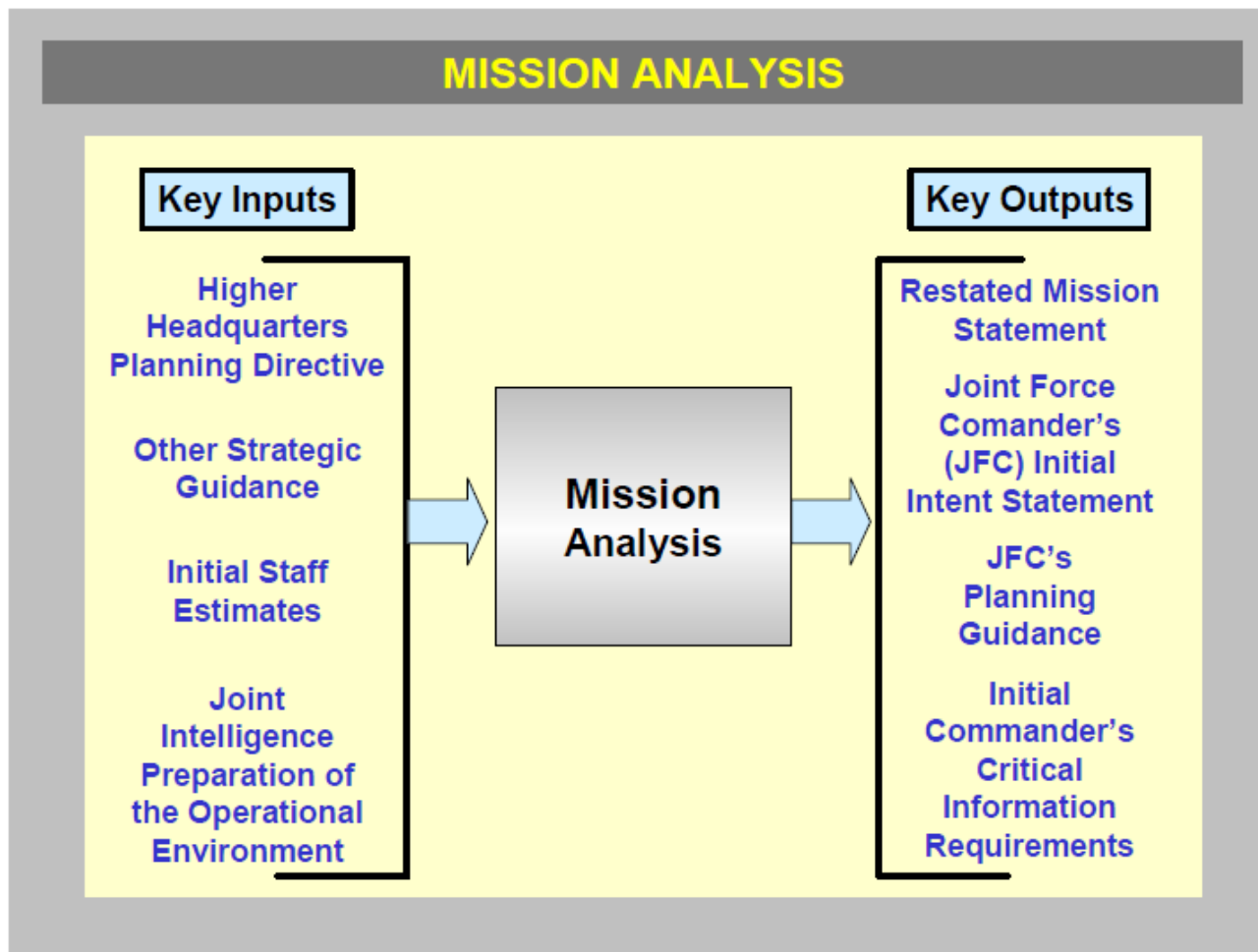
The last task in receipt of mission is to issue a WARNORD to subordinate and supporting units.

12.2.2 JOPP Process: Mission Analysis

A thorough mission analysis is crucial to planning. Both the process and products of mission analysis help CDRs refine their situational understanding and determine their mission. Accurate situational understanding enables them to better visualize the operation.

The primary inputs to mission analysis are the higher headquarters planning directive, other strategic guidance, the joint intelligence preparation of the operational environment (JIPOE), and initial staff estimates (See Figure 12-4). The primary products of mission analysis are a restated mission statement and the CJTF's initial Intent statement, CCIRs, and planning guidance.

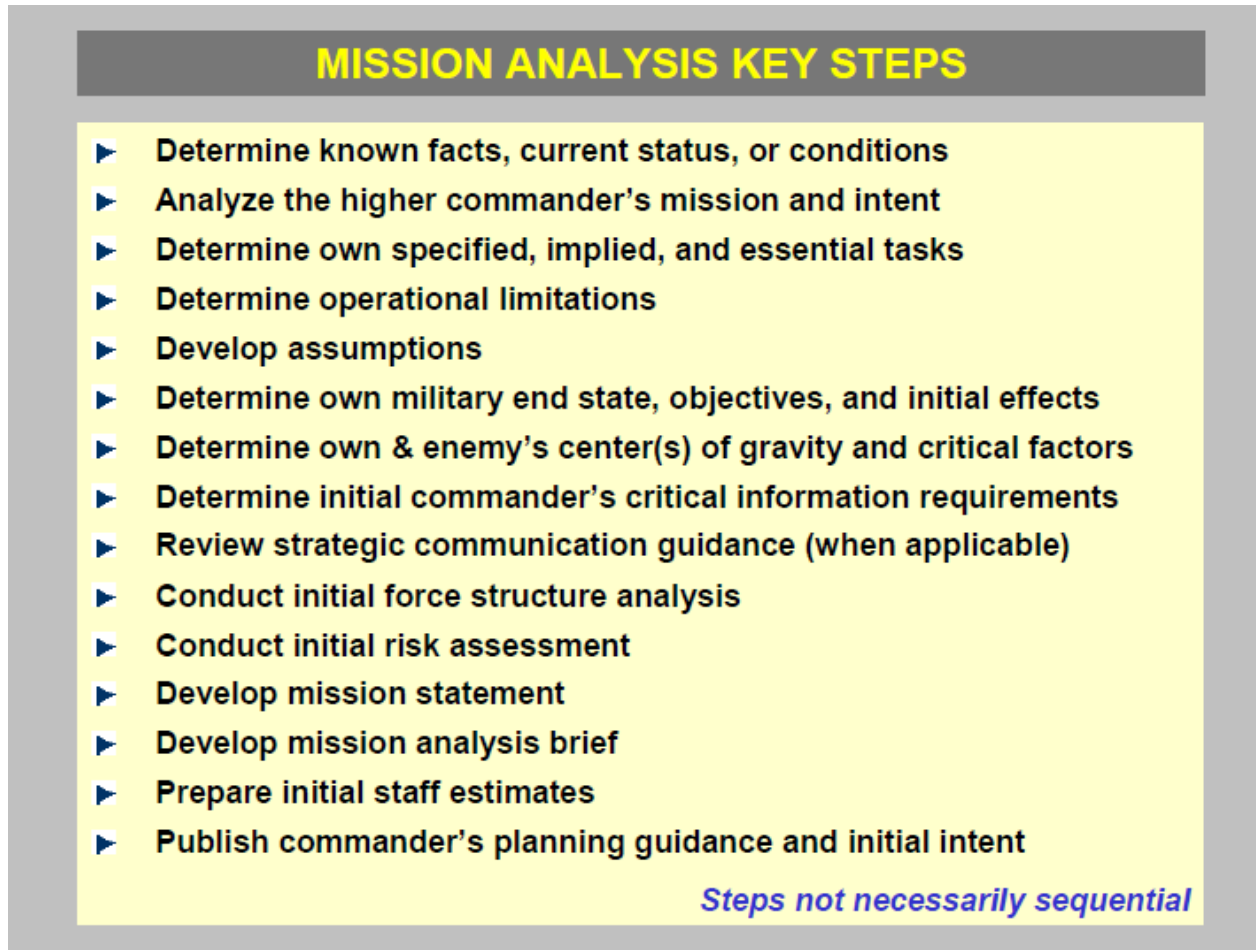
Figure 12-4: Mission Analysis (JOPP)



The JTF's mission is the task or set of tasks, together with the purpose, that clearly indicates the action to be taken and the reason for doing so. The CJTF and staff can accomplish mission analysis through a number of logical steps, such as those shown in Figure 12-5. Although some steps occur before others, mission analysis typically involves substantial parallel processing of information by the CDR and staff, particularly in a CAP situation.

Mission analysis consists of 15 steps, not necessarily sequential. In addition to the staff's mission analysis, CDRs perform their own mission analysis. This gives them a frame of reference to assess the staff's work and develop their visualization. The staff uses running estimates to record assessments and other information. Anticipation, prior preparation, and a trained staff are the keys to a timely mission analysis.

Figure 12-5: Mission Analysis Key Steps (JOPP)

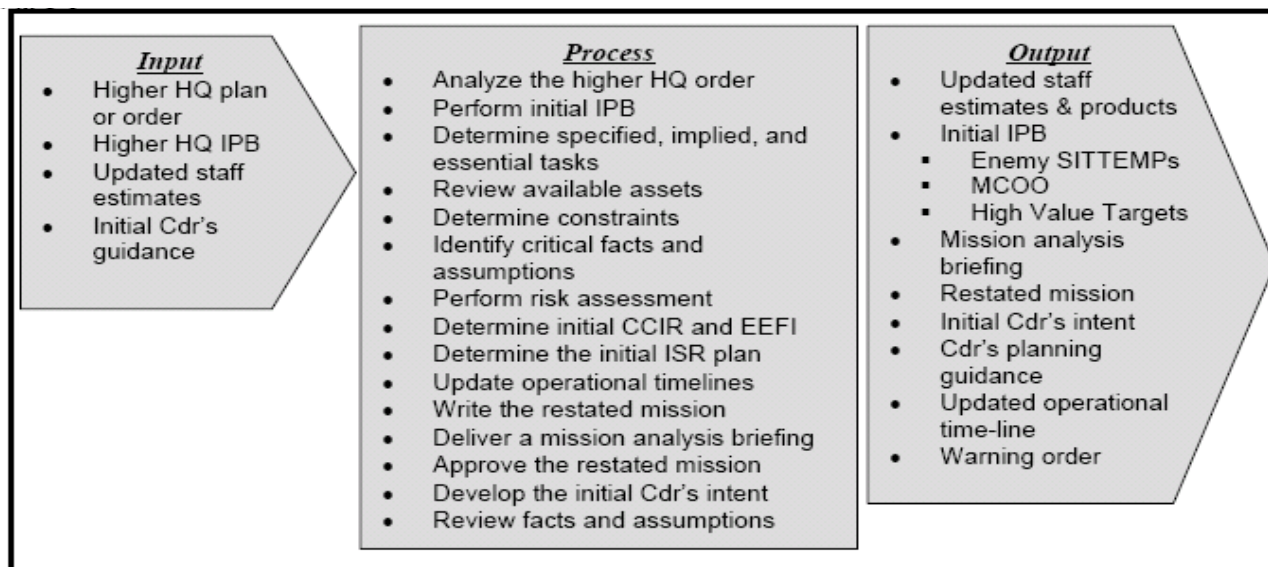


Mission analysis consists of 15 steps, not necessarily sequential. In addition to the staff's mission analysis, CDRs perform their own mission analysis. This gives them a frame of reference to assess the staff's work and develop their visualization. The staff uses running estimates to record assessments and other information. Anticipation, prior preparation, and a trained staff are the keys to a timely mission analysis.

The second step of MDMP is also mission analysis, but consists of 17 tasks, not necessarily sequential. Figure 12-6 describes the MDMP steps in mission analysis process.

Domestic JTF Commander Handbook

Figure 12-6: Mission Analysis (MDMP)



Step 1: Determine Known Facts, Current Status, or Conditions (NOTE – Task 6: Identify Critical Facts and Assumptions (MDMP))

Determine initial desired and undesired effects and key assumptions. The staff gathers two categories of information concerning assigned tasks—facts and assumptions, to support the planning process and planning guidance. Facts are statements of known data concerning the situation, including available troops, unit strengths, and materiel readiness. An assumption provides a supposition about the current situation or future course of events, assumed to be true in the absence of facts. Assumptions are necessary to enable the CDR to complete an estimate of the situation and select the COA. Assumptions that address gaps in knowledge are critical for the planning process to continue. For planning purposes, subordinate CDRs treat assumptions made by higher headquarters as true in the absence of proof to the contrary. However, they should challenge those assumptions if they appear unrealistic. Assumptions must be continually reviewed to ensure validity.

Because of their influence on planning, the fewest possible assumptions are included in a plan. A valid assumption has three characteristics: it is **logical**, **realistic**, and **essential** for the planning to continue.

Analyze the operational environment with respect to mission accomplishment. This analysis should result in understanding operational limitations and other considerations that affect execution and that bear on operational and strategic decisions.

Understanding the operational environment has always included a perspective broader than just the adversary's military forces and other combat capabilities within the traditional battlespace. However, current and future strategic and operational

Domestic JTF Commander Handbook

requirements and types of operations can benefit by a more comprehensive view of all systems in this environment relevant to the mission and operation at hand.

While strategic and operational desired effects focus on larger aspects of various systems, tactical-level desired effects typically are associated with direct results. At the tactical level, a direct effect is the proximate, first-order consequence of an action – for example, restoration of electrical power by military engineers – which usually is immediate and easily recognizable.

One of the primary inputs to mission analysis is the JIPOE. (This is discussed in MDMP as Task 2: Perform Initial Intelligence Preparation for the Mission and Task 9: Determine the Initial Intelligence, Surveillance, and Reconnaissance Plan) JIPOE, referred to in MDMP as intelligence preparation for the mission, is the systematic, continuous process of analyzing the threat and environment in a specific geographic area to produce intelligence assessment, estimates and other intelligence products. The primary purpose of JIPOE is to support the CJTF’s decisionmaking and planning by identifying, assessing, and estimating the enemy’s COG(s), critical factors, capabilities, limitations, intentions, and COAs that are most likely to be encountered based on the situation. This intelligence preparation is designed to support the staff estimate and JOPP. Most intelligence requirements are generated as a result of this process and its interrelation with the decision making process.

Intelligence preparation is an analytical methodology employed as part of intelligence planning to reduce uncertainties concerning the environment, and terrain for all types of operations. Intelligence preparation is conducted during mission planning to support the CDR’s decision making and to form the basis for the direction of intelligence operations in support of current and future missions. It utilizes existing databases and identifies gaps in intelligence needed to determine the impact of the environment, and terrain on operations and presents this in an appropriate form to facilitate operational planning. It forms the basis for situation development.

Using the JIPOE process, the J-2 manages the analysis and development of products that provide a systems understanding of the increasingly complex and interconnected operational environment – the composite of the conditions, circumstances, and influences that affect the employment of capabilities and bear on the decisions of the commander. Staff officers must assist the J-2 in developing intelligence preparation products to include the situational template (SITTEMP) within their own areas of expertise or functional area. Intelligence preparation starts during mission analysis, is refined during the rest of the JOPP, and continues during preparation and execution of operations.

| |
|--|
| Intelligence preparation consists of four steps: |
| ▪ <i>Define the Environment.</i> Defining the environment includes identifying characteristics that influence operations. It helps determine the area of interest |

| |
|--|
| (AI) and identifies gaps in intelligence. |
| <ul style="list-style-type: none"> ▪ <i>Describe the Environment Effects.</i> Describing the environment's effects involves evaluating all aspects of the environment. These include the effects of terrain, weather, and some civil considerations in the AO. Describing the environment's effects identifies constraints on potential friendly COAs and may reveal implied tasks. It also identifies opportunities the environment presents, such as avenues of approach. The staff integrates these into their staff estimates and potential friendly COAs. |
| <ul style="list-style-type: none"> ▪ <i>Evaluate the Threat.</i> Evaluating the threat involves analyzing intelligence to determine how adversaries normally organize for combat and conduct operations under similar circumstances. This step results in a doctrinal template that depicts how the threat operates when unconstrained by effects of the environment. The staff would not produce a doctrinal template but would develop a SITTEMP based on available intelligence and military judgment. |
| <ul style="list-style-type: none"> ▪ <i>Determine Threat Courses of Action.</i> Using the results of the previous steps, the intelligence officer determines possible threat COAs. They are expressed as SITTEMPS that are done before the mission analysis briefing and are used to brief the CDR on likely COAs. The intelligence officer continues to develop and wargame these threat COAs during COA analysis. |

The initial intelligence preparation identifies gaps in information that the CDR uses to establish initial PIR. These are incorporated into the initial intelligence, surveillance, and reconnaissance (ISR) plan.

From Task 9 of the MDMP, "Determine the Initial Intelligence, Surveillance, and Reconnaissance Plan", the concept is that the unit develops and issues the initial ISR plan as soon as possible to facilitate effective planning. The initial ISR plan is crucial to begin or adjust the collection effort to help answer IRs necessary in developing effective plans. ISR assets are tasked or dispatched as soon as possible. The initial ISR plan sets reconnaissance in motion. It may be issued as part of a WARNORD, a FRAGORD, and an OPORD. As more information becomes available, it is incorporated into a complete ISR annex to the force OPORD. As ISR units and assets fill in gaps or the CCIR change, ISR taskings are updated. The operations officer does this with FRAGORDs.

Based on the initial Intelligence Preparation of the Battlespace (IPB) and CCIRs, the staff (primarily the Intelligence Staff at Corps and Division (J-2)) identifies gaps in the intelligence effort and determines what assets are available to collect on these gaps. The Operations, Plans and Training Staff at Corps and Division (J-3) turns this into an initial ISR Plan that tasks ISR assets as soon as possible to begin the collection effort.

The ISR plan is not a military intelligence (MI)-specific product. The J-3 is the staff proponent of the ISR plan. It is an integrated staff product executed by the unit at the

Domestic JTF Commander Handbook

direction of the CDR. The J-3, assisted by the J-2, uses the ISR plan to task and direct the available ISR assets to answer the CCIR (PIR) and other intelligence requirements.

| The initial ISR plan should contain, as a minimum – | |
|--|---|
| ▪ The AOs for surveillance and reconnaissance assets | ▪ Line of departure (LD) or line of contact (LC) time |
| ▪ ISR tasks | ▪ Task organization |
| ▪ Provisions for communications, logistics, and fire support | ▪ The reconnaissance objective ▪ CCIR and IR |
| ▪ Initial named areas of interest (NAIs) | ▪ Provisions for medical evacuation |
| ▪ Fire support coordinating measures and airspace control measures | ▪ Routes to the AO, and passage of lines instructions |

Step 2: Analyze the Higher Commander’s Mission and Intent (NOTE – Task 1: Analyze the Higher Headquarters Order (MDMP))

CDRs and staffs thoroughly analyze the higher headquarters order to establish where the unit mission fits into the missions of higher and adjacent headquarters. Their goal is to determine how their unit, by task and purpose, contributes to the mission, CDR’s Intent, and CONOPS to the higher headquarters to levels up. They also determine how their mission and those of adjacent units contribute to achieving the CDR’s Intent.

| The commander and staff seek to completely understand - | |
|---|---|
| ▪ The higher headquarters – <ul style="list-style-type: none">○ Commander’s Intent○ Mission○ Available assets | <ul style="list-style-type: none">○ Area of Operations○ Concept of Operations○ Operational Timeline |
| ▪ The missions of adjacent (including front and rear), supporting and supported missions, and their relation to higher headquarters plan | |
| ▪ The Unit Area of Operations | |
| ▪ Their mission in the context of and in relation to the higher headquarters mission and Commander’s Intent | |

Parallel and collaborative planning with the higher headquarters facilitates this task.

Step 3: Determine Own Specified, Implied and Essential Tasks (NOTE – Task 3: Determine Specified, Implied, and Essential Tasks (MDMP))

Domestic JTF Commander Handbook

The staff analyzes the higher headquarters order and the higher CDR's guidance to determine specified and implied tasks. A *task* is a clearly defined and measurable activity accomplished by individuals and organizations. In the context of operations, a *task* is a clearly defined and measurable activity accomplished by Soldiers, units, and organizations that may support or be supported by other tasks. The "what" of a mission statement is always a task. From the list of specified and implied tasks, the staff determines essential tasks for inclusion in the unit's mission statement.

KEY TERMS

specified task — A task that is specifically assigned to an organization by its higher headquarters.

implied task — A task derived during mission analysis that an organization must perform or prepare to perform to accomplish a specified task or the mission, but which is not stated in the higher headquarters order.

essential task — A specified or implied task that an organization must perform to accomplish the mission. An essential task is typically included in the mission statement.

Specified tasks are tasks specifically assigned to an organization by its higher headquarters. Paragraphs 2 and 3 of the higher headquarters order or plan state specified tasks. Combat support (CS) and combat service support (CSS) tasks may be in paragraphs 4 and 5. Specified tasks may be listed in annexes and overlays. They may also be assigned orally during collaborative planning sessions or in directives from the higher CDR.

Implied tasks are tasks that must be performed to accomplish a specified task or the mission, but are not stated in the higher headquarters order. Implied tasks are derived from a detailed analysis of the higher headquarters order, COAs, and the terrain. Analysis of the unit's current location in relation to its future AO may also reveal implied tasks that must be performed to accomplish specified tasks. Additionally, analysis of doctrinal requirements for each specified task might disclose implied tasks. Only implied tasks that require allocating resources should be retained.

Once staff members have identified specified and implied tasks, they ensure they understand each task's requirements and the purpose for accomplishing each task. Then they determine the task or tasks that must be successfully executed to accomplish the mission. This task or tasks are the essential tasks. *Essential tasks* are specified or implied tasks that must be executed to accomplish the mission. Essential tasks are typically included in the unit's mission statement. The staff presents the essential task or tasks to the CDR for approval during the mission analysis briefing.

Domestic JTF Commander Handbook

Step 4: Determine Operational Limitations (NOTE - Task 5: Determine Constraints (MDMP))

Operational limitations are actions required or prohibited by higher authority and other restrictions that limit the CDR's freedom of action, such as diplomatic agreements, political and economic conditions in affected countries, and host nation issues. Many operational limitations are commonly expressed as ROE or RUF. Operational limitations may restrict or bind COA selection or may even impede implementation of the chosen COA. CDRs must examine the operational limitations imposed on them, understand their impacts, and develop options that minimize these impacts in order to promote maximum freedom of action during execution.

Step 5: Develop Assumptions (NOTE - Task 6: Identify Critical Facts and Assumptions (MDMP))

The staff gathers two categories of information concerning assigned tasks—facts and assumptions. Facts are statements of known data concerning the situation, including available troops, unit strengths, and materiel readiness.

An assumption is a supposition on the current situation or a presupposition on the future course of events, either or both assumed to be true in the absence of positive proof, necessary to enable the CDR in the process of planning to complete an estimate of the situation and make a decision on the COA. To determine assumptions, planners:

- List all assumptions received from higher headquarters
- State expected conditions over which the CDR has no control but which are relevant to the plan
- List conditions that invalidate the plan or its CONOPS

A valid assumption has three characteristics: it is *logical*, *realistic*, and *essential* for the planning to continue. *Realistic* (referred to in MDMP as *validity*) means the assumption is likely to be true. "Assuming away" potential problems, such as weather or likely COAs, produces an invalid assumption. *Essential* (referred to in MDMP as *necessity*) is whether the assumption is essential for planning. If planning can continue without the assumption, it is not necessary and should be discarded.

Assumptions that address gaps in knowledge are critical for the planning process to continue. For planning purposes, subordinate CDRs treat assumptions made by higher headquarters as true in the absence of proof to the contrary. However, they should challenge those assumptions if they appear unrealistic. Assumptions must be continually reviewed to ensure validity.

CDRs and their staff should anticipate changes to the plan that may become necessary should an assumption prove to be incorrect. Because of their influence on planning, the fewest possible assumptions are included in a plan. OPLANs developed during contingency planning may contain assumptions that cannot be resolved until a potential crisis develops. In CAP, however, assumptions should be replaced with facts as soon as possible. The staff accomplishes this by identifying the information needed

Domestic JTF Commander Handbook

to convert assumptions to facts and submitting an information request to an appropriate agency as an IR. If the CDR needs the information to make a key decision, the IR can be designated a CCIR. Although there may be exceptions, the staff should strive to resolve all assumptions before issuing the OPORD.

Assumptions should be replaced with facts as soon as possible. The staff identifies the information needed to convert assumptions into facts and submits them to the appropriate agency as IRs. If the CDR needs information to make a decision, he may designate the IR as one of his CCIR. Requirements for information about threats and the environment are submitted to the intelligence officer. The intelligence officer incorporates them into input to the initial ISR plan.

Step 6: Determine Own Military End State, Objectives, and Initial Effects

Once given a mission, objective, and/or tasks in the higher headquarters plan or order, commanders form their initial situational understanding using their experience, judgment, and initial staff inputs. From this they develop an initial picture of the military end state and a construct for how to reach it. This provides the basis for their initial CDR's Intent statement, planning guidance, and CCIRs.

Termination is discussed first among the elements of operational design because effective planning cannot occur without a clear understanding of the end state and the conditions that must exist to end military operations. Knowing when to terminate military operations and how to preserve achieved advantages is key to achieving the end state.

Once the termination criteria are established, operational design continues with development of the strategic objectives and definition of the military end state. When and under what circumstances to suspend or terminate military operations is a political decision.

In formulating an OPLAN, the supported CJTF and staff should, as a minimum, do the following:

- Understand that conflict termination is a key aspect of the planning process.
- Emphasize backward planning — planning which begins with consideration of conflict termination, reconstitution, and redeployment and works backward to the pre-hostilities phase.
- Define the conditions of the “stabilize” and “enable civil authority” phases.

The military objectives must support the political aims. Once the military end state is understood and termination criteria are established, operational design continues with development of strategic and operational military objectives. An objective is a clearly defined, decisive, and attainable goal toward which every military operation should be directed. Joint operation planning integrates military actions and capabilities with other instruments in time, space, and purpose in unified action to achieve the CJTF's objectives. Strategic military objectives define the role of military forces in the larger

Domestic JTF Commander Handbook

context of strategic objectives. Objectives and their supporting effects provide the basis for identifying tasks to be accomplished.

Operational- and tactical-level headquarters also use objectives during planning. Tactical objectives often are associated with the specific “target” of an action. In this context, an objective could be a terrain feature, the seizing or defending of which is essential to the commander’s plan.

Effects. An effect is a physical and/or behavioral state of a system that results from an action, a set of actions, or another effect. A desired effect can also be thought of as a condition that can support achieving an associated objective, while an undesired effect is a condition that can inhibit progress toward an objective.

The use of effects during planning is reflected in the steps of JOPP as a way to clarify the relationship between objectives and tasks and help the CJTF and staff determine conditions for achieving objectives. CDRs and staffs can use CDR’s Intent, a systems perspective of the operational environment, and an understanding of desired and undesired effects to coordinate and promote unified action with multinational and other agency partners.

Step 7: Determine Own and Enemy’s Center(s) of Gravity and Critical Factors

A systems understanding of the operational environment strives to provide a perspective of interrelated systems that comprise the operational environment, relevant to a specific operation. Among other benefits, this perspective helps analysts identify potential sources from which to gain indications and warning. It also helps analysts with center of gravity (COG) analysis and planners with operational design by identifying nodes in each system, the links (relationships) between the nodes, critical factors, and potential decisive points. This allows CDRs and staffs to consider a broader set of options to focus limited resources, create desired effects, and achieve objectives.

A COG can be viewed as the set of characteristics, capabilities, and sources of power from which a system derives its moral or physical strength, freedom of action, and will to act. The COG is always linked to the objective. If the objective changes, the COG also could change. At the strategic level, a COG could be a military force, an alliance, political or military leaders, a set of critical capabilities or functions, or national will. At the operational level a COG often is associated with the adversary’s military capabilities but could include other capabilities in the operational environment. Commanders consider not only the enemy COGs, but also identify and protect their own COGs.

The staff, under the J-2’s lead, analyzes the relevant systems in the operational environment based on understanding strategic objectives, desired effects, and the joint force’s mission. This analysis identifies a number of nodes — the people, facilities, individual systems, forces, information, and other components of the system. The analysis also attempts to identify links — the behavioral, physical, or functional relationship between nodes. Identifying nodes and their links helps the staff assess the systems’ important capabilities and vulnerabilities. This analysis identifies the

Domestic JTF Commander Handbook

interrelationship of systems and capabilities within or in support of a given COG. A clear understanding of these relationships will help the JFC and staff in the identification of effective options to defeat the COG.

Planners should analyze COGs within a framework of three critical factors – critical capabilities, requirements, and vulnerabilities – to aid in this understanding. Critical capabilities are those that are considered crucial enablers for a COG to function as such. Critical requirements are the conditions, resources, and means that enable a critical capability to become fully operational. Critical vulnerabilities are those aspects or components of critical requirements that are deficient, or vulnerable to direct or indirect attack in a manner achieving decisive or significant results. Collectively, the terms above are referred to as critical factors.

Step 8: Determine Initial Commander's Critical Information Requirements (CCIRs) (NOTE – Task 8: Determine Initial Commander's Critical Information Requirements And Essential Elements of Friendly Information (MDMP))

The CCIR identify information needed by the CDR to support his CDR's visualization and to make critical decisions, especially to determine or validate courses of action. The key question is, "What does the CDR need to know in a specific situation to make a particular decision in a timely manner?"

CCIRs are not static. CCIR are situation-dependent and specified by the CDR for each operation. During the JOPP, CCIR most often arise from the IPB and wargaming. The fewer the CCIR, the better the staff can focus its efforts and allocate scarce resources for collecting it.

Step 9: Review Strategic Communications Guidance (When Applicable)

Strategic communication is the focused U.S. government processes and efforts to understand and engage key audiences to create, strengthen, or preserve conditions favorable to advance national interests and objectives through the use of coordinated information, themes, plans, programs, and actions synchronized with other instruments of national power. Strategic communication planning establishes unity of U.S. themes and messages, emphasizes success, accurately confirms or refutes external reporting on U.S. operations, and reinforces the legitimacy of U.S. goals.

During contingency planning and CAP, CJTFs review strategic communication guidance during mission analysis, and their staffs address strategic communication issues, as appropriate, in their staff estimates.

The predominant military activities that promote strategic communication themes and messages are information operations, public affairs, and defense support to public diplomacy. Synchronized planning of information operations, public affairs, and defense support to public diplomacy is essential for effective strategic communication. CJTFs should ensure that their information operations, public affairs, and defense support to public diplomacy planning is consistent with overall objectives.

Domestic JTF Commander Handbook

Since public affairs and information operations both ultimately support the dissemination of information, themes, and messages adapted to their audiences, their activities must be closely coordinated and synchronized to ensure consistent themes and messages are communicated to avoid credibility losses for both the joint force and PA spokesmen.

Step 10: Conduct Initial Force Structure Analysis (NOTE – Task 4: Review Available Assets (MDMP))

The CDR and staff examine additions to and deletions from the current task organization, support relationships, and status (current capabilities and limitations) of all units. They consider relationships among essential, specified, and implied tasks, and between them and available assets. From this analysis, they determine if they have the assets needed to accomplish all tasks. If there are shortages, they identify additional resources needed for mission success. The staff also identifies any deviations from the normal task organization and provides them to the CDR to consider when developing the planning guidance. A more detailed analysis of available assets occurs during COA development.

Step 11: Conduct Initial Risk Assessment (NOTE – Task 7: Perform Risk Assessment (MDMP))

Within the context of MDMP, *risk management* is the process of identifying, assessing, and controlling risks arising from operational factors, and making decisions that balance risk cost with mission benefits. According to MDMP, *risk management* consists of five steps that are performed throughout the operations process (See Table 12-2).

Table 12-2: Risk Management

| | Step 1 – Identify Hazards | Step 2 – Assess Hazards | Step 3 – Develop Controls & Make Risk Decisions | Step 4 – Implement Controls | Step 5 – Supervise & Evaluate |
|-------------------------|---------------------------------|-------------------------------|---|-----------------------------------|----------------------------------|
| Receipt of Mission | X | | | | |
| Mission Analysis | X | X | | | |
| COA Development | X | X | X | | |
| COA Analysis | X | X | X | | |
| COA Comparison | | | X | | |
| COA Approval | | | X | | |
| Orders Production | | | | X | |
| * Preparation | | | | X | X |
| * Execution | | | | X | X |
| ★ Not part of the MDMP. | | | | | |

Steps 1 and 2 of the risk management process make up risk assessment. In step 1, the CDR and staff identify the hazards that may be encountered during a mission. In step 2, they determine the direct impact of each hazard on the operation. The CDR issues

Domestic JTF Commander Handbook

planning guidance at the end of mission analysis with risk mitigation measures for the staff to incorporate into their COA development. Risk assessment enhances situational understanding and contributes to complete planning guidance.

CDRs and staffs assess risk whenever they identify hazards, regardless of type; they do not wait until a set point in a cycle. They consider force protection issues from natural or manmade environmental hazards. They also consider the risk of potential damage to agricultural, historic, religious or cultural sites, and civil infrastructure that may result from the conduct of military operations in the AO. The operations officer exercises overall staff responsibility for risk assessment. Other staff sections oversee risk management for hazards within their functional areas.

Within the context of JOPP, “Step 11: Conduct Initial Risk Assessment”, termination criteria and mission success criteria become the basis for assessment. Assessment uses measures of performance (MOPs) and measures of effectiveness (MOEs) to indicate progress toward achieving objectives. If the mission is unambiguous and limited in time and scope, mission success criteria could be readily identifiable and linked directly to the mission statement. For example, if the JTF’s mission is to evacuate all personnel from a threatened area, then mission analysis could identify two primary success criteria: (1) all personnel are evacuated and (2) established RUF are not violated. However, more complex operations may require MOEs and MOPs for each task, effect, and phase of the operation.

Measuring the status of tasks, effects, and objectives becomes the basis for reports to senior CDRs and civilian leaders on the progress of the operation.

Within the context of MDMP, “Task 10: Update the Operational Time Line” would follow a discussion MDMP Task 9 “Determine The ISR Plan.” It is included here for consideration as part of the JOPP “Mission Analysis” steps.

As more information becomes available, the CDR and staff refine their initial plan for the use of available time. They compare the time needed to accomplish essential tasks to the higher headquarters operational time line to ensure mission accomplishment is possible in the allotted time.

The CDR and chief of staff/executive officer also refine the staff planning time line. The refined time line includes the:

- Subject, time, and location of briefings the CDR requires
- Times of collaborative planning sessions and the medium over which they will take place
- Times, locations, and forms of rehearsals

Step 12: Develop Mission Statement (NOTE - Task 11: Write the Restated Mission (MDMP))

One of the primary products of mission analysis is a restated mission statement. The mission statement should be a short sentence or paragraph that describes the

Domestic JTF Commander Handbook

organization’s essential task (or tasks) and purpose — a clear statement of the action to be taken and the reason for doing so. The mission statement contains the elements of who, what, when, where, and why, but seldom specifies how.

The chief of staff/executive officer or operations officer prepares a recommended mission statement for the unit based on the mission analysis. The unit’s mission statement is presented to the CDR for approval normally during the mission analysis brief.

| The five elements of a mission statement answer the questions — | |
|---|---|
| ▪ | <i>Who</i> will execute the operation (unit/organization)? |
| ▪ | <i>What</i> is the unit’s essential task (tactical mission task)? |
| ▪ | <i>When</i> will the operation begin (by time or event) or what is the duration of the operation? |
| ▪ | <i>Where</i> will the operation occur (AO, objective, grid coordinates)? |
| ▪ | <i>Why</i> will the force conduct the operations (for what purpose or reason)? |

Step 13: Develop Mission Analysis Brief (NOTE - Task 12: Deliver a Mission Analysis Briefing and Task 13: Approve the Restated Mission (MDMP))

The mission analysis briefing is given to both the CDR and the staff. If appropriate, subordinate CDRs may attend, either in person or by video teleconference (VTC). This is often the only time the entire staff is present and the only opportunity to ensure that all staff members are starting from a common reference point.

| Time permitting, the staff briefs the CDR on its mission analysis using the following outline — | |
|---|---|
| ▪ Mission and CDR’s Intent of the headquarters two levels up | ▪ Mission, CDR’s Intent, CONOPS, and military deception plan or deception objectives of the headquarters one level up |
| ▪ Review of the CDR’s initial guidance | ▪ Initial IPB products, including MCOO and SITTEMPs |
| ▪ Pertinent facts and assumptions | ▪ Constraints |
| ▪ Specified, implied, and essential tasks | ▪ Recommended initial CCIR and EEFI |
| ▪ Forces available | ▪ Initial risk assessment |
| ▪ Recommended time lines | ▪ Recommended restated mission |
| ▪ Recommended collaborative planning sessions | |

Domestic JTF Commander Handbook

The briefing focuses on relevant conclusions reached as a result of the mission analysis. It is neither a readiness briefing nor a briefing of compiled data. It is a decision briefing that results in an approved restated mission, CDR's Intent, and CDR's planning guidance. Staff members present only relevant information the CDR needs to develop situational understanding and formulate planning guidance. A comprehensive mission analysis briefing helps the CDR, staff, and subordinates develop a shared understanding of the requirements of the upcoming operation.

In MDMP "Task 13: Approve the Restated Mission", immediately after the mission analysis briefing, the CDR approves a restated mission. This can be the staff's recommended mission statement, a modified version of the staff's recommendation, or one that the CDR has developed personally. Once approved, the restated mission becomes the unit mission.

Step 14: Prepare Initial Staff Estimates

One of the primary inputs to mission analysis is the initial staff estimates. Throughout planning, staff officers prepare recommendations within their functional areas, such as system, weapons, and munitions capabilities, limitations, and employment; risk identification and mitigation; resource allocation and synchronization of supporting assets; and multinational and interagency considerations. Staff sections prepare and continuously update staff estimates that address these and other areas. The staff maintains these estimates throughout the operation, not just during pre-execution planning.

A staff estimate is an assessment of the situation. It includes an evaluation of how factors in a staff section's functional area can influence each COA. Staff estimates provide the foundation for COA selection. The purpose of staff estimates is to determine which COA best accomplishes the mission and which can best be supported. This, together with the supporting discussion, gives the commander the best possible information to select a COA. Figure 12-7 shows examples of functional areas requiring review during the staff estimate process. (For a sample staff estimate format, see JP 5-0, *Joint Operation Planning*, Appendix B, "Sample Estimate Format".)

In their staff estimates, each staff element:

- Reviews the mission and situation from its own staff functional perspective.
- (b) Examines the factors and assumptions for which it is the responsible staff.
- (c) Analyzes and refines each COA to determine its supportability from the perspective of the staff's functional area.
- (d) Concludes whether the mission can be supported and which COA may best be supported.

Figure 12-7: Functional Staff Estimates

| FUNCTIONAL STAFF ESTIMATES | |
|----------------------------|---|
| Mobilization | ■ Identify and address actions that must occur to integrate and synchronize the use of Reserve Component forces in the tentative courses of action (COAs). |
| Personnel | ■ Identify and address known or anticipated personnel factors that may influence the tentative COAs, including the anticipated need for individual and small-unit replacements; the anticipated use of civilian, contract support, or indigenous personnel; and the anticipated individual and unit rotation policy. |
| Intelligence | ■ Identify relevant information about the operational environment. Provide information about the adversary's military system, including the anticipated military situation at the beginning of the operation, enemy centers of gravity, limitations, intentions, potential and most likely COAs, and priority intelligence requirements. Provide information on other systems in the operational environment, including the populace, infrastructure, social issues relevant to the military operation, political factors and relationships, information architecture beyond just that of the military, and economic factors. |
| Logistics | ■ Identify and address known or anticipated factors that may influence the feasibility of providing required logistic support to sustain the timing, intensity, and duration of the tentative COAs, including the required time-phasing to position support personnel to receive and integrate required combat forces and to move sustainment stocks. |
| Engineering | ■ Identify and address known or anticipated engineering factors that may influence preparatory tasks, force deployment, force protection, and the reception, staging, onward movement, and integration of forces. Identify construction requirements that may need emergency or contingency construction authority. |
| Force Protection | ■ Identify and examine known or anticipated force protection factors that may influence the tentative COAs. |
| Interagency Support | ■ Identify opportunities for interagency cooperation to facilitate unity of effort. Identify requirements for interagency support of joint operations. |

FUNCTIONAL STAFF ESTIMATES (continued)

Health Service Support

- Identify and address known or anticipated medical threat factors that may affect force health protection. These factors include theater patient movement policy; required medical treatment, evacuation, and hospitalization capabilities; preventive medicine, veterinary, and dental support required; health service logistics; and the medical aspects of chemical, biological, radiological, and nuclear defensive operations.

Transportation and Movement

- Identify available transportation capabilities and coordination requirements to support the time-phased deployment, employment, and sustainment of tentative COAs. Include requirements for intertheater and intratheater transportation assets and requirements to protect critical transportation nodes and lines of communications.

Joint Reception, Staging, Onward Movement, and Integration

- Identify available capabilities and coordination requirements for joint reception, staging, onward movement, and integration of forces, including potential external sources of support.

Communications Systems Support

- Identify and examine the feasibility of providing adequate communications systems support for tentative COAs.

Special Technical Operations

- Identify and examine factors that may influence special technical operations which support and are integrated with tentative courses of action (COAs).

Consequence Management

- Identify and examine factors that may influence consequence management operations which support and are integrated with tentative COAs.

Host-Nation Support

- Identify, consolidate, and integrate host-nation support required for the tentative COAs. Include the anticipated transportation and other support that the supported commander must provide to multinational partners.

Legal Support

- Identify legal issues that may affect tentative COAs, including those related to the Law of Armed Conflict, the Geneva Conventions, and status-of-forces agreements.

Each staff estimate takes on a different focus that identifies certain assumptions, detailed aspects of the tentative COAs, and potential deficiencies and risks that are simply not known at any other level, but nevertheless must be considered. Such a detailed study of the tentative COAs involves the corresponding staffs of subordinate and supporting commands.

Domestic JTF Commander Handbook

Collaboration among relevant military, interagency, and multinational staff elements during the staff estimate process facilitates the iterative refinement of COAs. Early staff estimates are frequently given as oral briefings to the rest of the staff. In the beginning, they tend to emphasize information collection more than analysis. It is only in the later stages of the process that the staff estimates are expected to indicate which COAs are most likely to succeed and can best be supported. Not every situation will require or permit a lengthy and formal staff estimate process. For a simple mission or during CAP, the CDR may review the assigned mission, receive oral staff briefings, develop and select a COA informally, and direct that plan development commence. However, contingency planning will demand a more formal and thorough process.

Written staff estimates are not mandatory, but they are useful because planners can extract information from them to prepare the commander's estimate and subsequent plans and orders.

Although documenting staff estimates can be delayed until after the preparation of the commander's estimate, they should be shared collaboratively with subordinate and supporting commanders to help them prepare their supporting estimates, plans, and orders. This will improve parallel planning and collaboration efforts of subordinate and supporting elements and help reduce the planning times for the entire process.

Step 15: Publish Commander's Planning Guidance and Initial Intent (NOTE - Task 14: Develop the Initial CDR's Intent and Task 15: Issue the CDR's Planning Guidance)

Commander's Intent. The CDR's Intent is a clear, concise statement of the purpose of the operation—what the force must do and the conditions the force must meet to succeed with respect to the terrain, and the desired end state. It is the statement describing the CDR's visualization that focuses effort throughout the operations process. The CDR's Intent may include the CDR's assessment of the adversary CDR's Intent and an assessment of where and how much risk is acceptable during the operation.

The components of the CDR's Intent include:

- End state
- Key tasks
- Expanded purpose (if desired)

Key Tasks are those tasks that the force must perform as a whole or the conditions the force must meet to achieve the end state and stated purpose of the operation. Key tasks are not tied to a specific COA; rather they identify what the force must do to achieve the end state. Acceptable COAs accomplish all key tasks. In changed circumstances – when significant opportunities present themselves or the CONOPS no longer fits the situation – subordinates use key tasks to keep their efforts focused on achieving the CDR's Intent. Examples of key tasks include terrain that must be controlled and the

Domestic JTF Commander Handbook

operation’s tempo and duration. Key tasks are not specified tasks for any subordinate unit; however, they may be sources of implied tasks.

CJTF Planning Guidance. To ensure focused and effective planning, the CDR and staff develop and communicate planning guidance that will accompany tentative COAs to subordinate and supporting CDRs for their estimates of feasibility and supportability. As a minimum, the planning guidance should include the mission statement; assumptions; operational limitations; a discussion of the national strategic end state; termination criteria; military objectives; and the CJTF’s initial thoughts on desired and undesired effects. The planning guidance should also address the role of agencies and national partners in the pending operation and any related special considerations as required.

Within the context of MDMP, the next task after “Task 15: Issue the CDR’s Planning Guidance” would be Task 16: Issue a WARNORD and Task 17: Review Facts and Assumptions. Immediately after the CDR gives the planning guidance, the staff sends subordinate and supporting units a WARNORD.

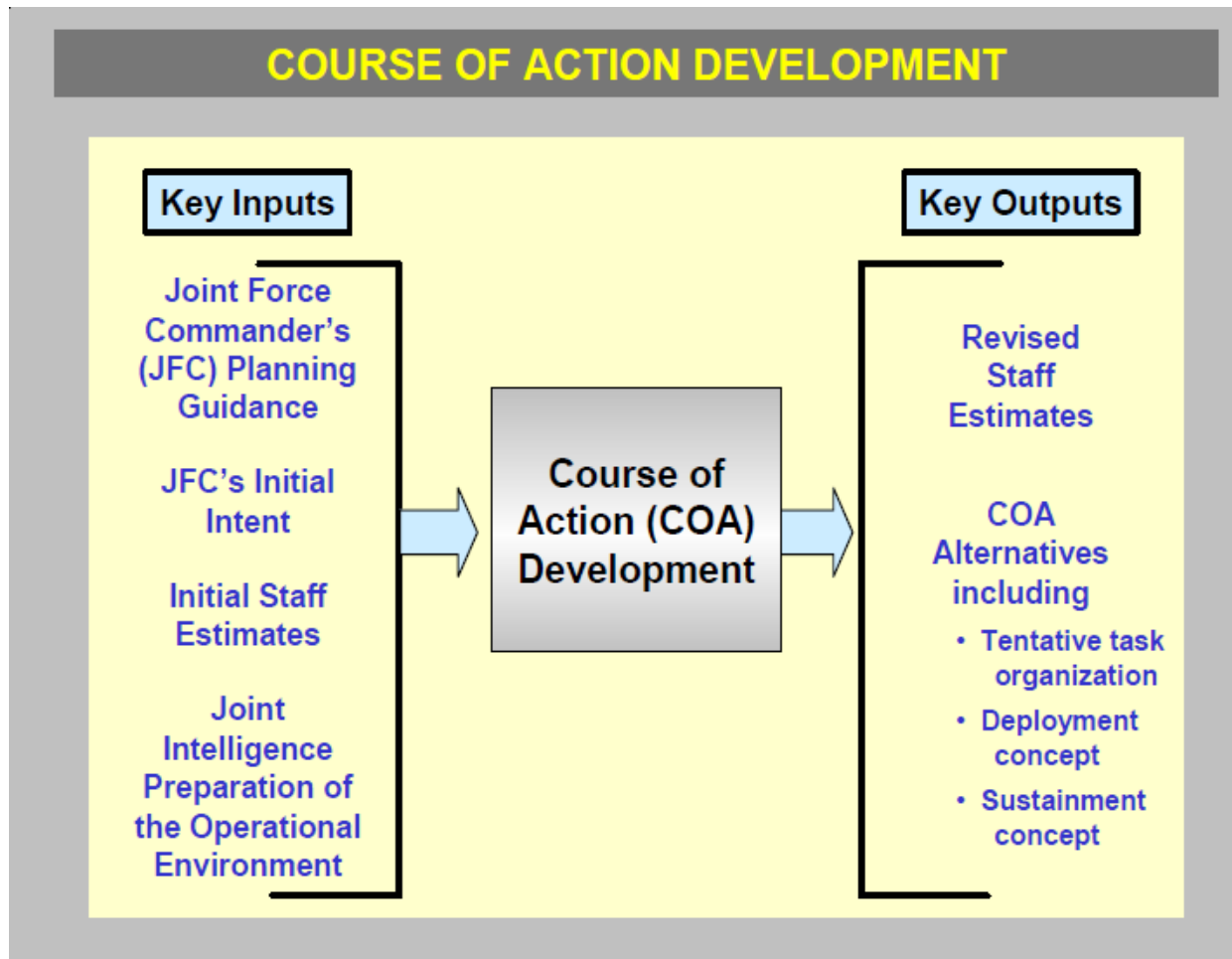
| As a minimum, the WARNORD contains – | |
|---|---|
| ▪ Approved unit mission statement | ▪ Commander’s Intent |
| ▪ Task organization changes | ▪ Attachments/detachments |
| ▪ Unit AO (sketch, overlay, or some other description) | ▪ Surveillance and reconnaissance instructions |
| ▪ Risk guidance | ▪ CCIR |
| ▪ Initial movement instructions | ▪ Security measures |
| ▪ Military deception guidance | ▪ Mobility and countermobility guidance |
| ▪ Specific priorities | ▪ The updated operational time line |
| ▪ Guidance on collaborative events and rehearsals | |

In “Task 17: Review Facts and Assumptions”, the CDR and staff periodically review all facts and assumptions. New facts may alter requirements and require a reanalysis of the mission. Assumptions may have become facts or may have even become invalid. Whenever the facts or assumptions change, the CDR and staff assess the impact of these changes on the plan and make the necessary adjustments, including changing the CCIR, if necessary.

12.2.3 JOPP Process: Course of Action (COA) Development

After receiving the restated mission, CDR's Intent, and CDR's planning guidance, the staff develops COAs for the CDR's approval. The CDR's direct involvement in COA development can greatly aid in producing comprehensive and flexible COAs within the available time.

Figure 12-8: Course of Action Development

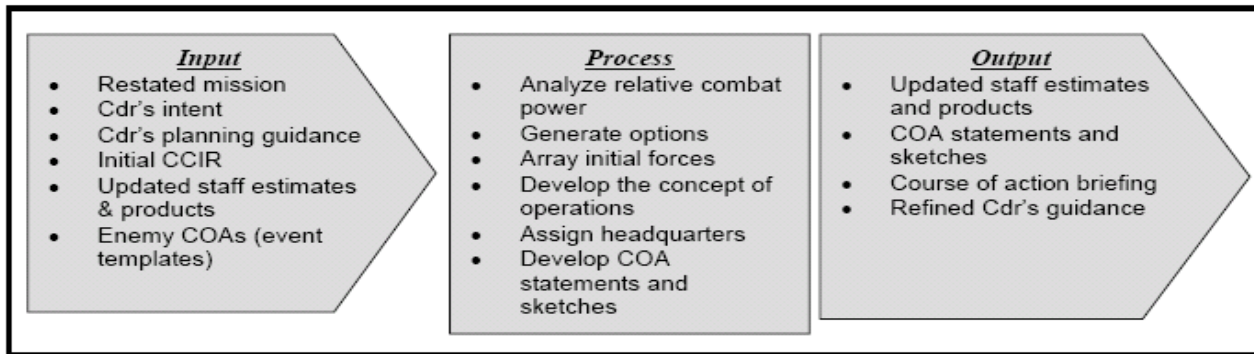


A COA consists of the following information: what type of military action will occur; why the action is required (purpose); who will take the action; when the action will begin; where the action will occur; and how the action will occur (method of employment of forces). The staff converts the approved COA into a CONOPS. COA determination consists of four primary activities: COA development, analysis and wargaming, comparison, and approval.

Domestic JTF Commander Handbook

MDMP indicates six steps of COA development, as shown in the process column of Figure 12-9.

Figure 12-9: MDMP Course of Action Development Steps



To develop COAs, the staff must focus on key information necessary to make decisions, using the data from mission analysis. The staff develops COAs to provide options to the CDR. All COAs selected for analysis should be valid. A valid COA is one that is adequate, feasible, acceptable, distinguishable, and complete (See Figure 12-10). The staff should reject potential COAs that do not meet all five criteria. A good COA accomplishes the mission within the CDR's guidance and positions the force for future operations and provides flexibility to meet unforeseen events during execution. It also provides the maximum latitude for initiative.

During COA development and comparison, the staff provides recommendations to support the CDR's selection of a COA. Once the CDR approves a COA, the staff coordinates all necessary details and prepares the plan or order.

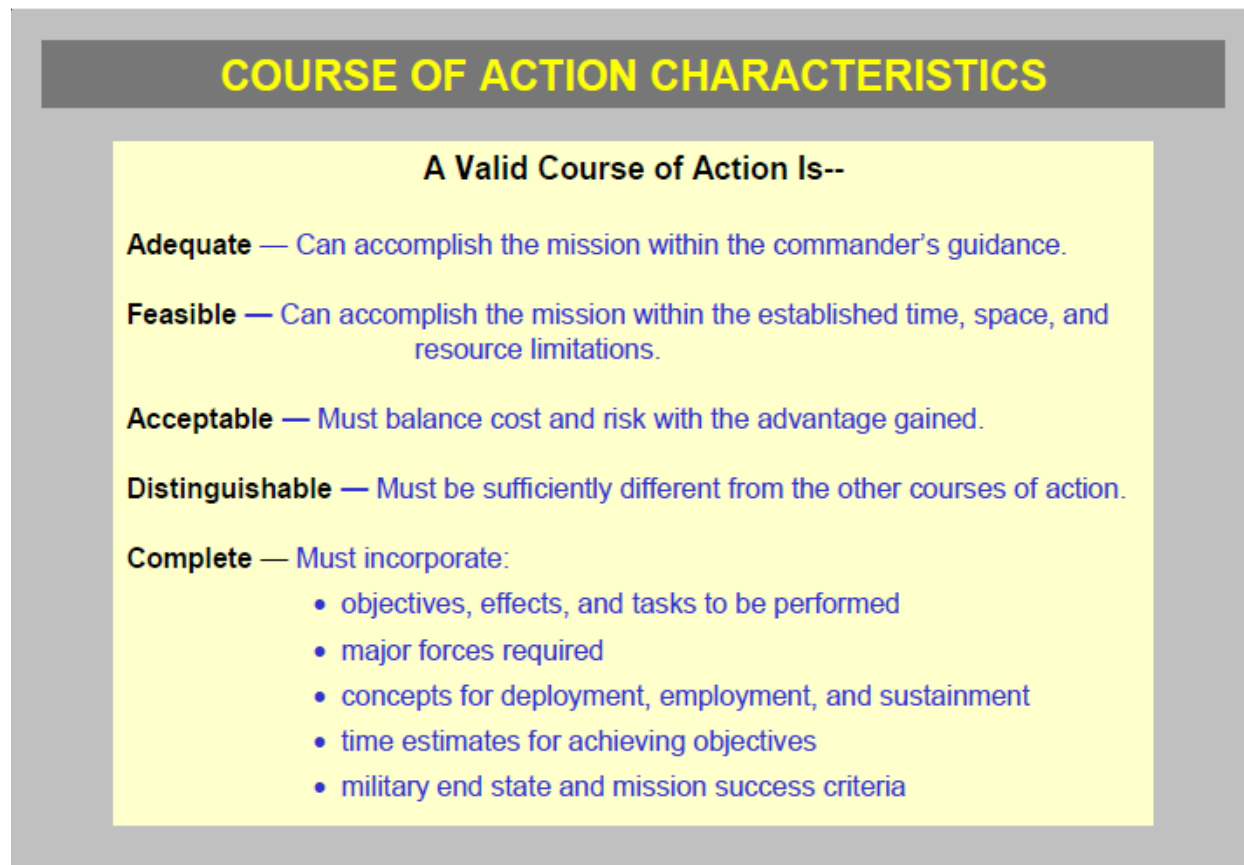
Staffs developing COAs ensure each one meets these screening criteria:

- **Adequate.** Can accomplish the mission within the CDR's guidance. (NOTE: This is described in MDMP as "Suitable. A COA must accomplish the mission and comply with the commander's planning guidance. However, CDRs may modify their planning guidance at any time. When this happens, the staff records and coordinates the new guidance, and reevaluates each COA to ensure it complies with the change.")
- **Feasible.** The unit must be able to accomplish the mission within the available time, space, and resource limitations.
- **Acceptable.** Must balance cost and risk with the advantage gained. The tactical or operational advantage gained by executing the COA must justify the cost in resources, especially casualties. This assessment is largely subjective.
- **Distinguishable.** Each COA must differ significantly from the others. This criterion is also largely subjective. Significant differences include differences in the:

Domestic JTF Commander Handbook

- Use of reserves
- Task organization
- Timing (day or night)
- Scheme of maneuver
- **Complete.** A COA must show how:
 - The decisive operation accomplishes the mission.
 - Shaping operations create and preserve conditions for success of the decisive operation.
 - Sustaining operations enable shaping and decisive operations.

Figure 12-10: Course of Action Characteristics



A good COA positions the force for future operations and provides flexibility to meet unforeseen events during execution. It also gives subordinates the maximum latitude for initiative. During COA development, the CDR and staff continue risk assessment, focusing on identifying and assessing hazards to mission accomplishment; they incorporate controls to reduce them into COAs. The staff also continues to revise IPB products, emphasizing event templates.

Domestic JTF Commander Handbook

12.2.4 JOPP Process: Course of Action Analysis and Wargaming

The CDR and staff analyze each tentative COA separately according to the CDR's guidance. Analysis of the proposed COAs should reveal a number of factors including:

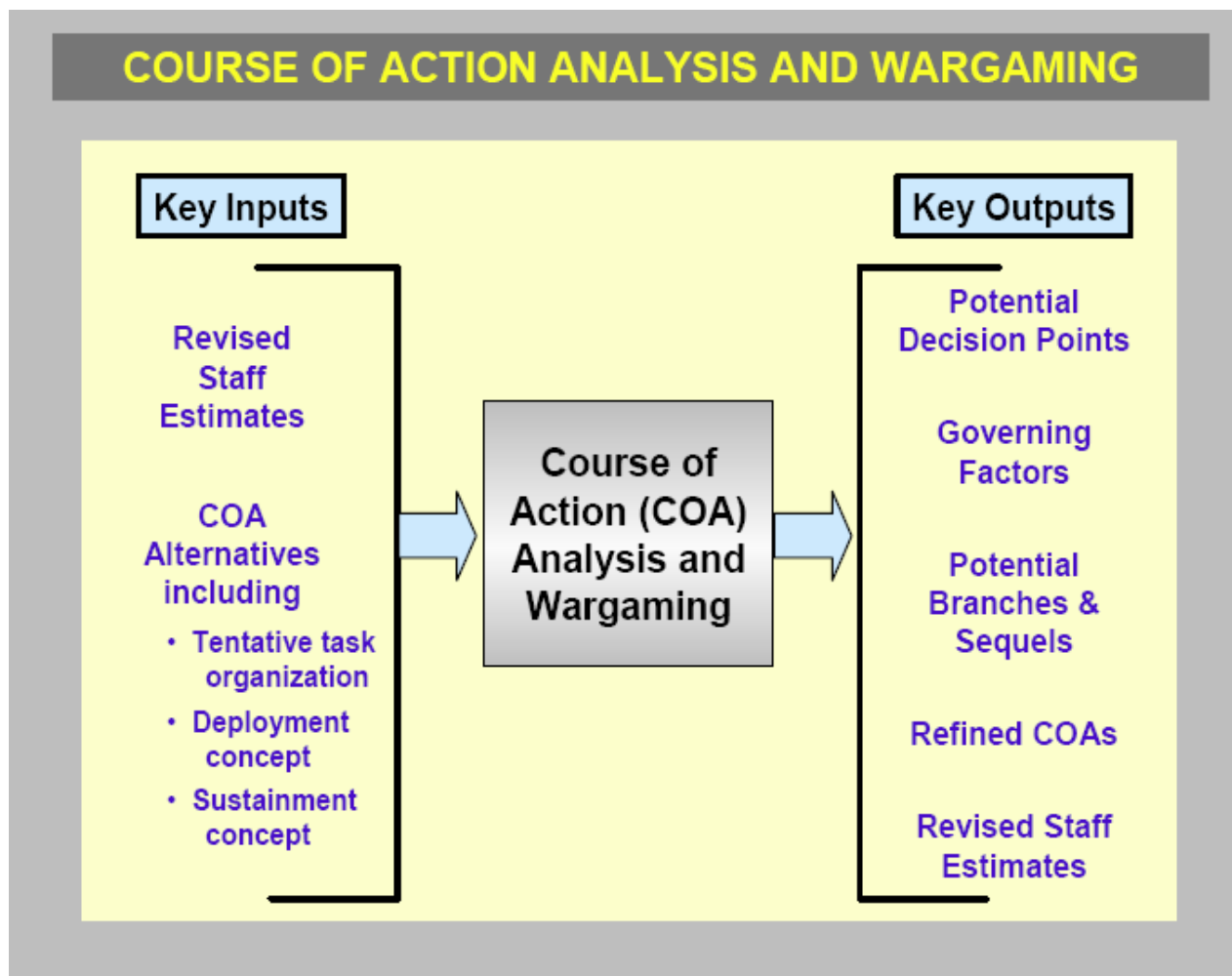
- Potential decision points
- Task organization adjustment
- Data for use in a synchronization matrix or other decision-making tool
- Identification of plan branches and sequels
- Identification of high-value targets
- A risk assessment
- COA advantages and disadvantages
- Recommended CCIRs

After developing COAs, the staff briefs them to the CDR. A collaborative session may facilitate subordinate planning. The COA briefing includes:

- An updated IPB
- Possible COAs (event templates)
- The unit mission statement
- The CDR's and higher CDRs' Intent
- COA statements and sketches
- The rationale for each COA, including —
 - Considerations that might affect COAs
 - Critical events for each COA
 - Deductions resulting from the relative combat power analysis
 - The reason units are arrayed as shown on the sketch
 - The reason the staff used the selected control measures
 - Updated facts and assumptions
- Recommended evaluation criteria

After the briefing, the CDR gives additional guidance. If all COAs are rejected, the staff begins again. If one or more of the COAs are accepted, staff members begin COA analysis. The CDR may create a new COA by incorporating elements of one or more COAs developed by the staff. The staff then prepares to wargame this new COA. For a detailed discussion of the process involved in wargaming a COA, refer to FM 5-0 (FM 101-5): *Army Planning and Orders Production*, January 2005.

Figure 12-11: Course of Action Analysis and Wargaming

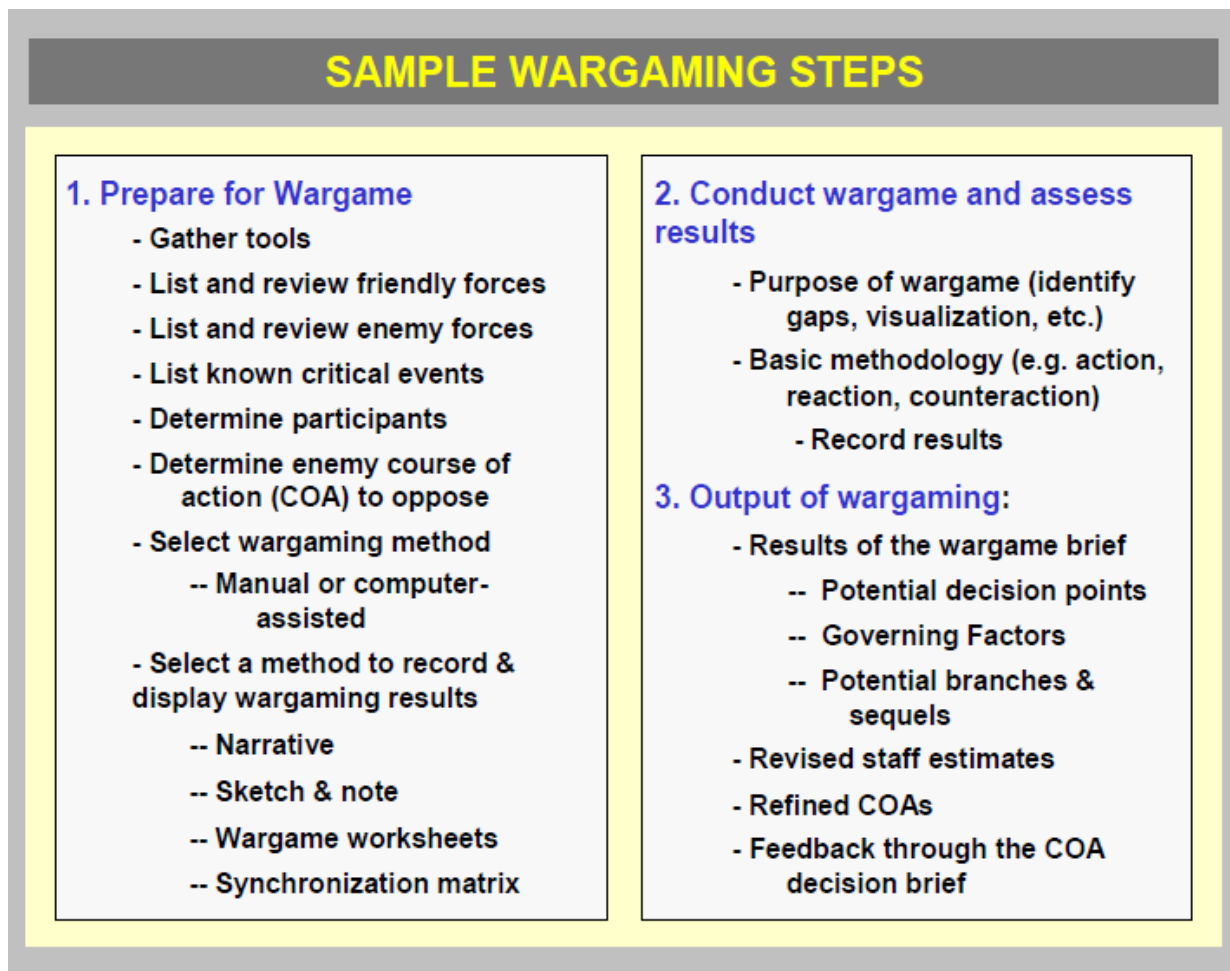


Wargaming consciously attempts to visualize the flow of the operation, given joint force strengths and dispositions, adversary capabilities and possible COAs, the AO, and other aspects of the operational environment. Each critical event within a proposed COA should be wargamed based upon time available using the action, reaction, counteraction method of friendly and/or opposition force interaction. The basic wargaming method (modified to fit the specific mission and environment) can apply to noncombat as well as combat operations.

Domestic JTF Commander Handbook

The wargaming process can be as simple as a detailed narrative effort which describes the action, probable reaction, counteraction, assets, and time used. A more comprehensive version is the “sketch-note” technique, which adds operational sketches and notes to the narrative process in order to gain a clearer picture. The most sophisticated form of wargaming is modern, computer-aided modeling and simulation. Figure 12-12 provides a sample list of possible wargaming steps.

Figure 12-12: Course of Action Wargaming Steps



A set of governing factors is an important output from COA analysis and wargaming. Governing factors are those aspects of the situation (or externally imposed factors) that the CDR deems critical to mission accomplishment. Potential governing factors include elements of the CDR’s Intent and planning guidance; wargaming results; selected principles of war; external constraints or any criteria the CDR desires.

However, the most important element of wargaming is not the tool used, but the people who participate. Staff members who participate in wargaming should be the individuals who were deeply involved in the development of COAs. A process similar to “the red cell process” can be applied to noncombat operations to help determine

Domestic JTF Commander Handbook

unforeseen or most likely obstacles as well as the potential results of planned operations. This cell would conceptually work for the J-2 and typically would reside in the joint planning group (JPG) can develop critical decision points.

A synchronization matrix is a decision-making tool and a method of recording the results of wargaming. Key results that should be recorded include decision points, potential governing factors, CCIRs, COA adjustments, branches, and sequels. Using a synchronization matrix helps the staff visually synchronize the COA across time and space in relation to the adversary's possible COAs. The wargame and synchronization matrix efforts will be particularly useful in identifying cross-component support resource requirements.

12.2.5 JOPP Process: Course of Action (COA) Comparison

COA comparison is an objective process whereby COAs are considered independently of each other and evaluated/compared against a set of criteria that are established by the staff and CDR. (See Figure 12-13.)

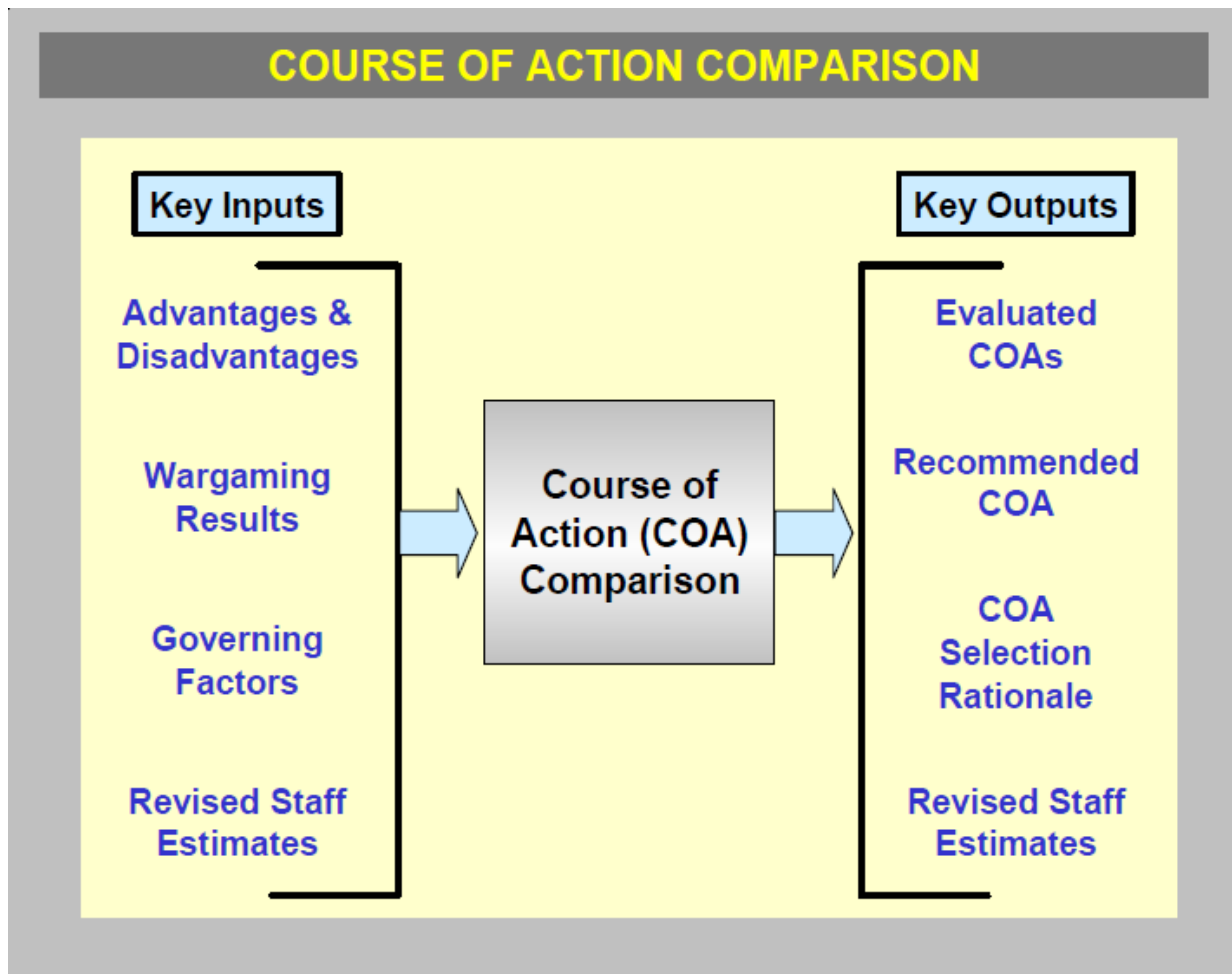
The COA comparison starts with all staff members analyzing and evaluating the advantages and disadvantages of each COA from their perspectives. Staff members each present their findings for the others' consideration. Using evaluation criteria that the staff has developed, the members outline each COA, highlighting its advantages and disadvantages. Comparing the strengths and weaknesses of the COAs identifies their advantages and disadvantages with respect to each other. The staff may use any technique that facilitates reaching consensus on the best recommendation, so that the CDR can make a decision in choosing the best COA.

The goal is to identify the strengths and weaknesses of COAs so that a COA with the highest probability of success can be selected or developed. The CDR and staff develop and evaluate a list of important criteria, or governing factors, consider each COA's advantages and disadvantages, identify actions to overcome disadvantages, make final tests for feasibility and acceptability and weigh the relative merits of each.

The staff compares feasible COAs to identify the one with the highest probability of success in completion of the mission. The selected COA should also:

- Pose the minimum risk to the force and mission accomplishment
- Place the force in the best posture for future operations
- Provide maximum latitude for initiative by subordinates
- Provide the most flexibility to meet unexpected threats and opportunities

Figure 12-13: Course of Action Comparison



Actual comparison of COAs is critical. The staff may use any technique that facilitates reaching the best recommendation and the CDR making the best decision. The most common technique is the decision matrix, which uses evaluation criteria to assess the effectiveness and efficiency of each COA (See Table 12-3). However, a decision matrix alone cannot provide decision solutions. Its greatest value is in providing a method to compare COAs against criteria that, when met, produced success.

Staff officers may each use their own matrix to compare COAs with respect to their functional areas. Decision matrices alone cannot provide decision solutions. Their greatest value is providing a method to compare COAs against criteria that, when met, produce success. They are analytical tools that staff officers use to prepare recommendations. CDRs provide the solution by applying their judgment to staff recommendations and making a decision.

Domestic JTF Commander Handbook

Table 12-3: Sample Decision Matrix - Numerical Analysis

| CRITERIA (note 1) | WEIGHT (note 2) | COA 1 (note 3) | COA 2 (note 3) | COA 3 (note 3) |
|--------------------------------------|---------------------------|--------------------------|--------------------------|--------------------------|
| Maneuver | 3 | 2 (6) | 3 (9) | 1 (3) |
| Simplicity | 3 | 3 (9) | 1 (3) | 2 (6) |
| Fires | 4 | 2 (8) | 1 (4) | 3 (12) |
| Intelligence | 1 | 3 (3) | 2 (2) | 1 (1) |
| ADA | 1 | 1 (1) | 3 (3) | 2 (2) |
| Mobility/ Survivability | 1 | 3 (3) | 2 (2) | 1 (1) |
| CSS | 1 | 2 (2) | 1 (1) | 3 (3) |
| C2 | 1 | 1 (1) | 2 (2) | 3 (3) |
| Residual Risk | 2 | 1 (2) | 2 (4) | 3 (6) |
| IO | 1 | 2 (2) | 1 (1) | 3 (3) |
| TOTAL/ Weighted TOTAL | | 20 (37) | 18 (31) | 22 (40) |

NOTES:

1. Criteria are those assigned in Step 5 of the war-gaming process.
2. Should the CofS/XO desire to emphasize one as more important than another, he assigns weights to each criterion based on relative importance.
3. Courses of action are those selected for war gaming.

Procedure:

The staff assigns numerical values for each criterion after war-gaming the COA. Values reflect the relative advantages or disadvantages of each criterion for each COA action. The lowest number is best. The initially assigned score in each column is multiplied by the weight and the product put in parenthesis in the column. When using weighted value, the lower value assigned indicates the best option. The numbers are totaled to provide a subjective evaluation of the best COA without weighing one criterion over another. The scores are then totaled to provide the best (lowest number value) COA based on weights the commander assigns. Although the lowest value denotes the best solution, the best solution may be more subjective than the objective numbers indicate. The matrix must be examined for sensitivity.

Although COA 2 is the best COA, it may not be supportable from a CSS standpoint. The decision maker must either determine if he can acquire additional support or if he must alter or delete the COA.

The chief of staff/executive officer normally determines the weight of each criterion based on its relative importance and the CDR's guidance. The CDR may give guidance that results in weighting certain criteria. The staff member responsible for a functional area scores each COA using those criteria. Multiplying the score by the weight yields the criterion's value. The staff member then totals all values. However, he must be

Domestic JTF Commander Handbook

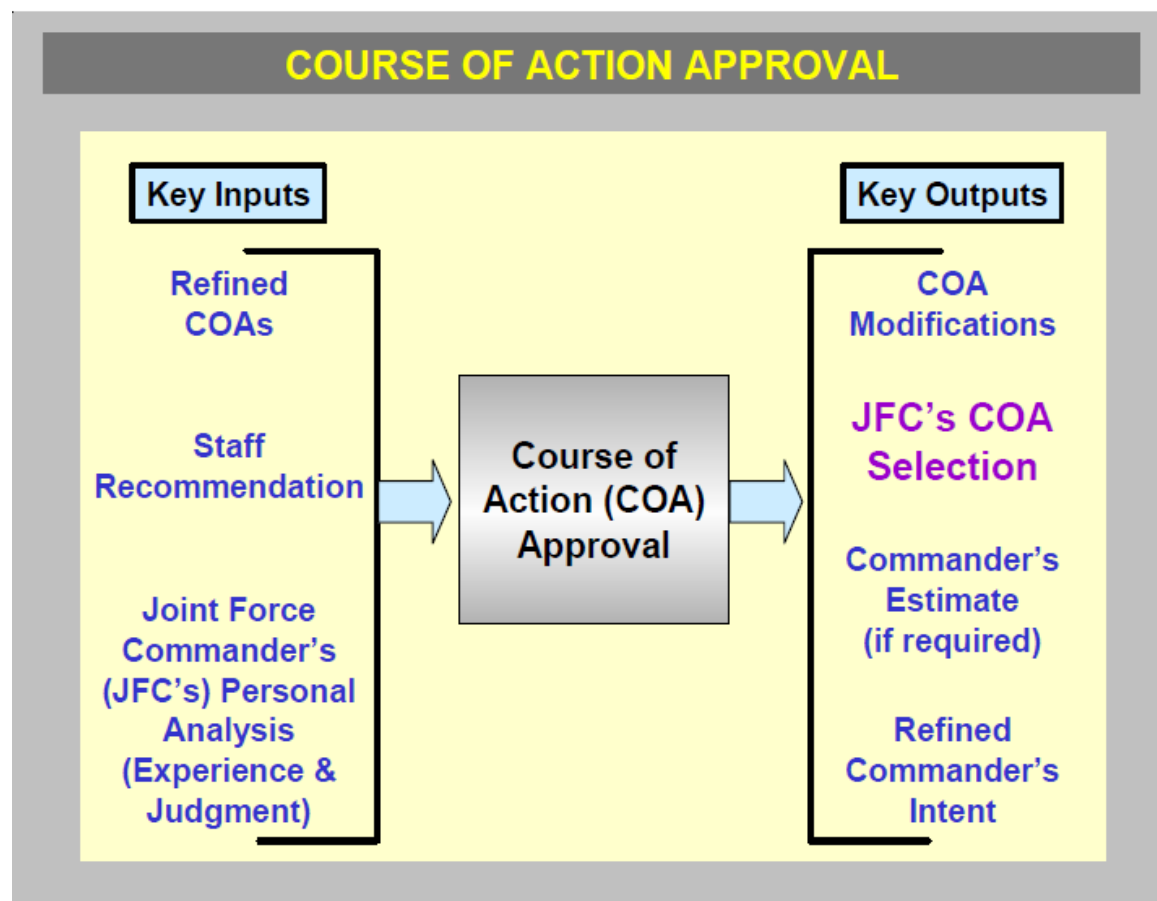
careful not portray subjective conclusions as the results of quantifiable analysis. Comparing COAs by category is more accurate than comparing total scores.

As noted above, a good COA positions the force for future operations and provides flexibility to meet unforeseen events during execution. It also gives subordinates the maximum latitude for initiative. During COA development, the CDR and staff continue risk assessment, focusing on identifying and assessing hazards to mission accomplishment; they incorporate controls to reduce them into COAs. The staff also continues to revise IPB products, emphasizing event templates.

12.2.6 JOPP Process: Course of Action Approval

The staff determines the best COA to recommend to the CDR. Figure 12-14 depicts the COA approval inputs and outputs.

Figure 12-14: Course of Action Characteristics



After completing its analysis and comparison, the staff identifies its preferred COA and makes a recommendation. If the staff cannot reach a decision, the chief of

Domestic JTF Commander Handbook

staff/executive officer decides which COA to recommend. The staff then delivers a decision briefing to the CDR.

| |
|--|
| COA approval has three components: |
| ▪ The staff recommends a COA, usually in a decision briefing. |
| ▪ The CDR decides which COA to approve. |
| ▪ The CDR issues the final planning guidance. |

The staff briefs the CDR on the COA comparison and the analysis and wargaming results, including a review of important supporting information. This briefing often takes the form of a CDR's estimate. This information could include the Intent of the next two higher CDRs; the current status of the force; the current JIPOE; and assumptions used in COA development. The CDR selects a COA or forms an alternate COA based upon the staff recommendations and the CDR's personal estimate, experience, and judgment.

The nature of a potential contingency could make it difficult to determine a specific end state until the crisis actually occurs. In these cases, the JTF may choose to present two or more valid COAs for approval by higher authority. A single COA can then be approved when the crisis occurs and specific circumstances become clear.

The decision briefing includes:

- The Intent of the higher and next higher CDRs
- The status of the force and its components
- The current IPB
- The COAs considered, including:
 - Assumptions used
 - Results of staff estimates
 - Summary of wargame for each COA to include critical events and modifications to any COA
 - Advantages and disadvantages (including risk) of each COA (These may be discussed in terms of a numerical analysis, subjective analysis, or broad categories.)
- The recommended COA

Domestic JTF Commander Handbook

Table 12-4: Sample Decision Matrix - Subjective Analysis

| Course of Action | Advantages | Disadvantages |
|------------------|---|--|
| COA 1 | Decisive operation avoids major terrain obstacles. Adequate maneuver room for decisive operation. | Decisive operation faces stronger obstacles at beginning. |
| COA 2 | Decisive operation gains good observation early. | Initially, additional troops may have to be employed in the AO. Needs detailed and rehearsed procedural and positive controls. |
| DISCUSSION: | | |

Table 12-5: Sample Decision Matrix - Broad Categories

| Factors | Course of Action | |
|--|------------------|---|
| | 1 | 2 |
| Medical evacuation routes | + | - |
| Suitable location for medical facilities | - | + |
| Suitable command post locations | 0 | 0 |
| Courier and distribution services | - | + |
| Residual risk | + | - |

Commander’s Decision

After the decision briefing, the CDR selects the COA the CDR believes will best accomplish the mission. If the CDR rejects all COAs, the staff starts COA development again. If the CDR modifies a proposed COA or gives the staff an entirely different one, the staff wargames the new COA and presents the results to the CDR with a recommendation.

Final Planning Guidance

After selecting a COA, the CDR issues the final planning guidance. The final planning guidance includes a refined CDR’s Intent (if necessary) and new CCIR to support execution. It also includes any additional guidance on orders preparation, rehearsal, and preparation. This guidance includes priorities for resources needed to preserve freedom of action and assure continuous CSS.

Domestic JTF Commander Handbook

12.2.7 JOPP Process: Orders Production

The staff prepares the order or plan by turning the selected COA into a clear, concise CONOPS and required supporting information. The CONOPS for the approved COA becomes the CONOPS for the plan. The staff assists subordinate staffs with their planning and coordination.

Contingency planning will result in plan development, while CAP typically will lead directly to OPORD development. During plan or order development, the CDR and staff, in collaboration with subordinate and supporting components and organizations, expand the approved COA into a detailed OPLAN or OPORD by first developing an executable CONOPS – the eventual centerpiece of the OPLAN or OPORD.

The CONOPS clearly and concisely expresses what the CJTF intends to accomplish and how it will be done using available resources. The CONOPS:

- States the CDR's Intent
- Describes the central approach the JFC intends to take to accomplish the mission
- Provides for the application, sequencing, synchronization, and integration of forces and capabilities in time, space, and purpose (including those of multinational and interagency organizations as appropriate)
- Describes when, where, and under what conditions the supported CDR intends to give or refuse battle, if required
- Focuses on friendly and adversary COGs and their associated critical vulnerabilities
- Avoids discernible patterns and makes full use of ambiguity and deception
- Provides for controlling the tempo of the operation
- Visualizes the campaign in terms of the forces and functions involved
- Relates the joint force's objectives and desired effects to those of the next higher command and other organizations as necessary. This enables assignment of tasks.

The staff writes (or graphically portrays) the CONOPS in sufficient detail so that subordinate CDRs understand their mission, tasks, and other requirements and can develop their supporting plans accordingly. During CONOPS development, the CDR determines the best arrangement of simultaneous and sequential actions and activities to accomplish the assigned mission consistent with the approved COA. This arrangement of actions dictates the sequencing of forces into the OA, providing the link between the CONOPS and force planning.

During orders production, the staff implements risk controls by coordinating and integrating them into the appropriate paragraphs and graphics of the order. The order communicates how to put controls into effect, which implements them, and how they fit into the overall operation.

CDRs review and approve orders before the staff reproduces and disseminates them unless they have delegated that authority. Traditionally, the chief of staff/executive officer or operations officer receives it. If possible, the order is briefed to subordinate CDRs face to face by the higher CDR and staff.

12.2.8 JOPP Process: Planning in a Time-Constrained Environment

The focus of any planning processes should be to quickly develop a flexible, tactically sound, and fully integrated and synchronized plan. However, any operation may “outrun” the initial plan. The most detailed estimates cannot anticipate every possible branch or sequel, unexpected opportunities, or changes in mission directed from higher headquarters. Fleeting opportunities may require a quick decision to implement a new or modified plan. When this occurs, units often find themselves pressed for time in developing a new plan.

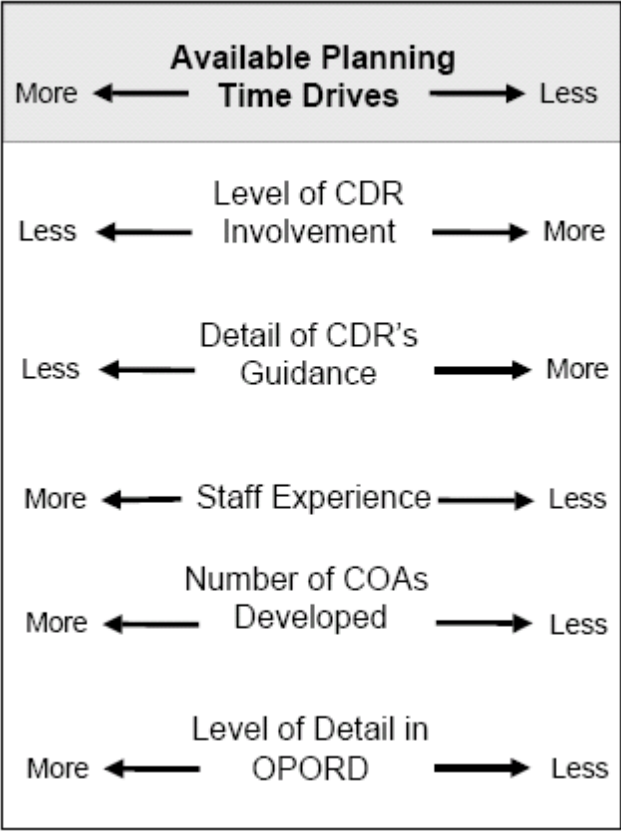
Before a unit can effectively conduct planning in a time-constrained environment, it must master the steps in the full JOPP. A unit can only shorten the process if it fully understands the role of each and every step of the process and the requirement to produce the necessary products. Training on these steps must be thorough and result in a series of staff drills that can be tailored to the time available.

Staffs must be able to produce simple, flexible, tactically sound plans in a time-constrained environment. Any METT-TC factor, but especially limited time, may make it difficult to complete every JOPP step in detail. Applying an inflexible process to all situations will not work. Anticipation, organization, and prior preparation are the keys to successful planning under time-constrained conditions.

Planning in a time constrained environment is based on the full JOPP.

The JOPP is a sound and proven process that can be modified with slightly different techniques to be effective when time is limited. The rest of this chapter discusses how to abbreviate the JOPP for use under time-constrained conditions. In these situations, CDRs shorten the process; however, there is still only one process. Omitting steps of the JOPP is not a solution.

Figure 12-15: Planning Continuum



Domestic JTF Commander Handbook

The steps of an abbreviated JOPP are the same as those for the full process; however, the CDR performs many of them mentally or with less staff involvement. The products developed during an abbreviated JOPP may be the same as those developed for the full process; however, they are usually less detailed. Some may be omitted altogether. Unit SOPs state how to abbreviate the JOPP based on the CDR’s preferences.

The time saved on any JOPP step can be used to:

- Refine the plan more thoroughly
- Conduct a more deliberate and detailed wargame
- Consider potential branches and sequels in detail
- Focus more on rehearsing and preparing the plan
- Allow subordinates units more planning and preparations time

| The advantages of abbreviating the JOPP are – | |
|--|--|
| ▪ It maximizes the use of available time. | ▪ It allows subordinates more planning time. |
| ▪ It focuses staff efforts on the CDR’s guidance. | ▪ It facilitates adapting to a rapidly changing situation. |
| ▪ It allows for the CDR’s experience to compensate for an inexperienced staff. | |
| The disadvantages of abbreviating the JOPP are – | |
| ▪ It is much more directive and limits staff flexibility and initiative. | ▪ It does not explore all available options when developing friendly COAs. |
| ▪ It increases the risk of overlooking a key factor or not uncovering a significantly better option. | ▪ It may decrease coordination and synchronization of the plan. |

12.2.9 The Staff’s Role

The CDR decides how to adjust the JOPP, giving specific guidance to the staff to focus on the process and save time. CDRs who have access to only a small portion of the staff, or none at all, rely even more than normal on their own expertise, intuition, and creativity, and on their understanding of the environment and of the art and science of warfare. They may have to select a COA, mentally wargame it, and confirm their decision to the staff in a relatively short time. If so, the decision is based more on experience than on a formal integrated staff process.

The importance of staff estimates increases as time decreases. Decision making in a time-constrained environment almost always takes place after a unit has entered the AO and begun operations. This means that the IPB, an updated COP, and some portion

Domestic JTF Commander Handbook

of staff estimates should already exist. Detailed planning provides the basis for information the CDR and staff need to make decisions during execution. Staff members keep their running estimates current so, when planning time is limited, they can provide accurate, up-to-date assessments quickly and move directly into COA development. Under time-constrained conditions, CDRs and staffs use as much of the previously analyzed information and products from earlier decisions as possible.

Mission Analysis

IPB requires constant attention. Many delays during mission analysis can be traced to it. In a time-constrained environment, the intelligence officer quickly updates the IPB based on the new mission and changed situation. A current intelligence estimate allows ISR assets to deploy early to collect information to confirm adjustments to the initial plan.

The staff performs as formal a mission analysis briefing as time allows. However, staff members may have to brief their estimates orally, without the use of charts or other tools, covering only information that has changed from the last staff estimate. When severely time-constrained, they brief only vital information that directly affects the new mission. CDRs who have been directly involved in mission analysis may decide to skip the mission analysis briefing.

Issuing detailed CDR's guidance is one way to save time during mission analysis. The elements of the CDR's guidance may be the same as the full JOPP, but the guidance is much more directive. Detailed guidance may include outlining what the CDR expects in each COA. It may include a tentative task organization and CONOPS. Detailed guidance keeps the staff focused by establishing parameters within which to work.

CDR's guidance must be constantly reviewed and analyzed. As the situation changes and information becomes available, CDRs may need to update or alter their guidance. Once the guidance is issued, the staff immediately sends a WARNORD to subordinate units. If subordinate CDRs and staffs are part of a collaborative process, they receive this updated guidance during the collaborative session. Even so, the staff captures this guidance and disseminates it in a WARNORD.

Course of Action Development

Performing a hasty wargame at the end of COA development can save time. A hasty wargame allows CDRs to determine if they favor one or more of the proposed COAs. It develops and matures one or more COAs prior to the formal wargame. If the CDR cannot be present during the hasty wargame, the staff delivers a COA back brief to the CDR afterwards. From the hasty wargame, the CDR refines one or more COAs before the detailed wargame. In extreme situations, this may be the only opportunity to conduct a wargame.

Domestic JTF Commander Handbook

CDRs may also use a hasty wargame to select a single COA for further development. Such a decision allows the staff and subordinates to focus on one COA rather than several. It also lets the staff concentrate on synchronizing the COA earlier.

The choice of COA is often intuitive, relying on the CDR's experience and judgment. The CDR determines which staff officers are essential to assist in COA development depending on the type of operation being planned. The minimum is normally the intelligence officer, operations officer, fire support coordinator, engineer coordinator, and chief of staff/executive officer. The CDR may also include subordinate CDRs, if available, either in person or by VTC. This team quickly develops a flexible COA that it feels will accomplish the mission. The CDR mentally wargames it and gives it to the staff to refine.

Limiting the number of COAs incurs the risk of overlooking a significantly better COA. Developing only one COA is the most risky approach. It provides the staff with the least flexibility to apply its creativity and explore alternate COAs, but it gives staff and subordinates more time to synchronize the plan. However, sometimes during synchronization, a modification to the COA is found that will enhance the plan without major disruptions in preparation. If this occurs, it is incumbent upon the staff to bring it to the CDR immediately for decision.

Course of Action Analysis

The box technique is best for an abbreviated JOPP. It addresses the decisive operation first. If time permits, the staff wargames other critical events or boxes. CDRs identify and prioritize the events they want analyzed. Analyzing essential tasks can identify critical events.

Staff officers save time if they specifically define and limit the evaluation criteria before they begin the wargame. The CDR can greatly increase effectiveness here by specifying the critical factors and their weight. Significant factors are quantified, if possible, and limited to the four or five most important, based on the mission statement, CDR's Intent, and the initial planning guidance.

The staff supports the CDR's plan. However, as the staff refines the plan, it cannot become so biased that it develops a plan that is infeasible and unsupportable. If the staff determines that the COA the CDR selected cannot be supported, they develop a new COA.

When only one COA is developed, the purpose of COA analysis is to verify, refine, and synchronize the COA, and integrate recommended modifications into it as necessary. However, the analysis should follow the formal wargame process as much as time allows helping the CDR visualize the outcome and identify potential branches and sequels. As time allows, the staff can further wargame and develop these branches and sequels.

In a severely time-constrained environment and if automated tools allow, units may combine the wargame with the rehearsal in a virtual environment that includes

Domestic JTF Commander Handbook

subordinate CDRs and staffs. A significant benefit of this technique is that it allows subordinate CDRs to control their units during the wargame.

Course of Action Comparison

If the CDR decides to wargame only one COA, or if the CDR chooses one COA during the wargame, no COA comparison is needed. If multiple COAs have been wargamed and the CDR has not made a decision, the staff must perform a COA comparison. Limiting the evaluation criteria and weighting factors is the only significant shortcut in this step.

Course of Action Approval

The staff ensures all COAs are complete, with tentative task organizations, concepts of operations, and tasks and purposes for each subordinate unit. Limiting the COA briefing to only the decisive operation or critical points can also save time. If only one COA was developed, no decision is required, unless the developed COA becomes unsuitable, infeasible, or unacceptable. If this occurs, the staff develops another COA.

Orders Production

In a time-constrained environment, time is important and a verbal FRAGORD may be issued immediately after the CDR makes a COA decision. The staff follows the verbal FRAGORD with a written order as soon as possible. If a verbal order is not issued, the staff immediately sends out a WARNORD, followed as quickly as possible by a written order. In all cases, the staff captures all the information in verbal orders and WARNORDs, and produces a written order to follow up on any previously issued orders.

13. Interagency, Intergovernmental, and National Guard Communities

13.1 Domestic Incident Management Roles / Responsibilities

13.1.1 National Level Coordination Structures

The Secretary of Homeland Security utilizes multiagency structures at the headquarters, regional, and field levels to coordinate efforts and provide appropriate support to the incident command structure. DOD has representation in all of the multiagency coordinating entities at the national level; however, Domestic CJTF will seldom, if ever, deal directly with any of these entities, but will rely on pre-established information sharing systems and liaisons to garner information.

Domestic Readiness Group (DRG). The White House will convene the Domestic Readiness Group (DRG) on a regular basis to develop and coordinate implementation of preparedness and response policy and in anticipation of or during crisis such as natural disasters and domestic terrorist attacks to address issues that cannot be resolved at lower levels and provide strategic policy direction for the Federal response. The DRG can also be convened at any time at the request of one of its members.

Incident Advisory Council (IAC). The IAC is a tailored group of senior Federal interagency representatives that adjudicates matters that cannot be resolved by the National Operations Center (NOC)-National Response Coordination Center (NRCC) and provides strategic advice to the Secretary of Homeland Security during an actual or potential incident requiring Federal coordination. Activated at the discretion of the Secretary of Homeland Security, or his representative, the core group of the IAC includes representatives from Federal departments and agencies, DHS components, and other organizations as required. Affected States may be represented on the IAC either through the DHS Office of State and Local Government Coordination (OSLGC) or, if needed, through a State liaison to the IAC. For advice concerning affected critical infrastructures, the IAC may draw upon advice from the CIPAC.

National Operations Center (NOC). Linking key headquarters components, including the former Homeland Security Operations Center (HSOC), the NOC is comprised of five sub-elements: Interagency Watch, National Response Coordination Center, Information and Analysis Component, National Infrastructure Coordination Center, and Operational Planning Element.

The NOC – Interagency Watch (NOC-Watch). The NOC-Watch is a standing 24/7 interagency organization fusing law enforcement, national intelligence, emergency response, and private sector reporting. The NOC-Watch facilitates HS information-sharing and operational coordination with other Federal, State, local, tribal, and nongovernmental Emergency Operations Centers (EOCs).

Domestic JTF Commander Handbook

National Response Coordination Center (NOC-NRCC). The NOC-NRCC monitors potential or developing incidents and supports the efforts of regional and field components, including coordinating the preparedness of national-level emergency response teams and resources; initiating mission assignments or reimbursable agreements to activate other Federal departments and agencies; and activating and deploying national-level specialized teams. In addition, the NOC-NRCC resolves Federal resource support conflicts and other implementation issues forwarded by the JFO. Those issues that cannot be resolved by the NOC-NRCC are referred to the IAC. During an incident, the NOC-NRCC operates on a 24/7 basis or as required in coordination with other elements of the NOC.

Intelligence and Analysis (NOC-I&A). I&A is responsible for interagency intelligence collection requirements, analysis, production, and product dissemination for DHS. I&A coordinates or disseminates homeland security threat warnings, advisory bulletins, and other information pertinent to national incident management to Federal, State, regional, local, and nongovernmental EOCs and incident management officials and relevant elements of the private sector.

National Infrastructure Coordination Center (NOC-NICC). The NOC-NICC monitors the Nation's critical infrastructure and key resources (CI/KR) on an ongoing basis. During an incident, the NOC-NICC provides a coordinating forum to share information across infrastructure and key resources sectors through appropriate information-sharing entities such as the Information Sharing & Analysis Centers and Sector Coordinating Councils. To foster information sharing and coordination, private sector representatives from the CI/KR may provide information to the NOC-NICC.

Interagency Planning Element (NOC-Planning). NOC-Planning conducts strategic level operational incident management planning and coordination. NOC-Planning is responsible for strategic level operational planning, including coordinating response, recovery and mitigation operational planning and interagency coordination with the NOC-NRCC; coordinating and sustaining Federal preparedness, prevention, and protection activities or at the Secretary's direction; and coordinating preparedness, prevention, and protection operations and resource allocation planning with the appropriate Federal departments and agencies, the NOC-NRCC, the RRCCs, and the JFO.

Strategic Information Operations Center (SIOC). The FBI SIOC is the focal point and operational control center for all Federal intelligence, law enforcement, and investigative law enforcement activities related to domestic terrorist incidents or credible threats, including leading attribution investigations. The SIOC serves as an information clearinghouse to help collect, process, vet, and disseminate information relevant to law enforcement and criminal investigation efforts in a timely manner. The SIOC maintains direct connectivity with the NOC and IAC.

14. NGB Joint C4 Coordination Center (JCCC)

14.1 NGB JCCC Organization

The NGB JCCC organizational construct provides for distributed operations to support steady state and incident operations through the JCCC and the SRC, and SRC-based JCCC Flyaway Teams.

The NGB JCCC capability consists of three core functional elements drawn from NG wide resources and the 261st SIGBDE (ARNG) and 281st CCG (ANG):

- **NGB JCCC JP1.** This element is collocated with the NGB J6. It is currently staffed and/or augmented by NGB J6, 261st and 281st military personnel and contractors. It operates on a steady state 8/5 daily schedule, is accessible 24/7 and surges to 24/7 continuous operations during incidents.
- **NGB JCCC SRC.** This element is located at the Delaware Army NG (DE ARNG) Service Reception Center (SRC). It is currently staffed by 261st and 281st personnel who focus on planning, coordination, and reporting of deployable NG C4 capabilities for HD/DSCA missions. It operates on a steady state 8/5 daily schedule, but is accessible 24/7 and surges to 24/7 continuous operations during incidents.
- **NGB JCCC Flyaway Teams.** These are deployable elements staffed and equipped to deploy to an incident area to perform C4 systems related coordination and support functions as close to the operational area as possible. NGB JCCC Flyaway teams have incident area as well as reach back C4 capabilities providing connectivity to the NGB JCCC for situational awareness, coordination of resource requirements, and other operational functions from the incident area. NGB JCCC Flyaway Teams are currently staffed by the 261st and 281st and can also be augmented with other NG personnel as the mission requires.

14.1.1 JCCC Mission

The JCCC coordinates with State/Territorial net-centric environment managers to enable the building and communication of a NG C4 COP that supports C4 situational awareness as well as the overall NG COP. The JCCC provides the NGB J-6 with 24/7 coordination, oversight, and situational awareness of NG fixed and deployable C4 resources. While not exercising C2 of NG fixed and deployable net-centric IT resources, the NGB JCCC will have capabilities to coordinate the deployment of these resources based on appropriate EMACs, MOAs, MOUs, SOPs, etc.

Domestic JTF Commander Handbook

14.2 The National Guard Communications Element (NGCE)

14.2.1 NGCE Mission

Organizationally, the NGCE is formed in much the same way as a JTF HQ. Its structure and capabilities are based upon the mission and therefore, no two NGCE's will be exactly alike. Using the results of the Communications System Staff Estimate as described in Appendix B of JP 6-0, *Communications System Support*, the designated JTF J6 will determine the C4 capabilities required to support the Domestic JTF Commander. Based on this analysis, the JTF J6 will create a C4 support plan that includes a description of the capabilities needed within the NGCE, how those capabilities will be provided, and the task organization of combined organic State/Territory C4 resources needed to provide these capabilities. Should the State/Territory not have organic C4 resources to satisfy all the capability needs of the JTF, additional capabilities can be brought to bear through the implementation of appropriate EMACs, MOAs, MOUs, SOPs, etc. If needed, the NGB JCCC can help the JTF J6 in the identification of potential sources for additional C4 capabilities from across the United States. The resultant C4 plan must deliver an architecture with the ability to provide the deployable capabilities needed to extend trusted information sharing and collaboration capabilities in support of:

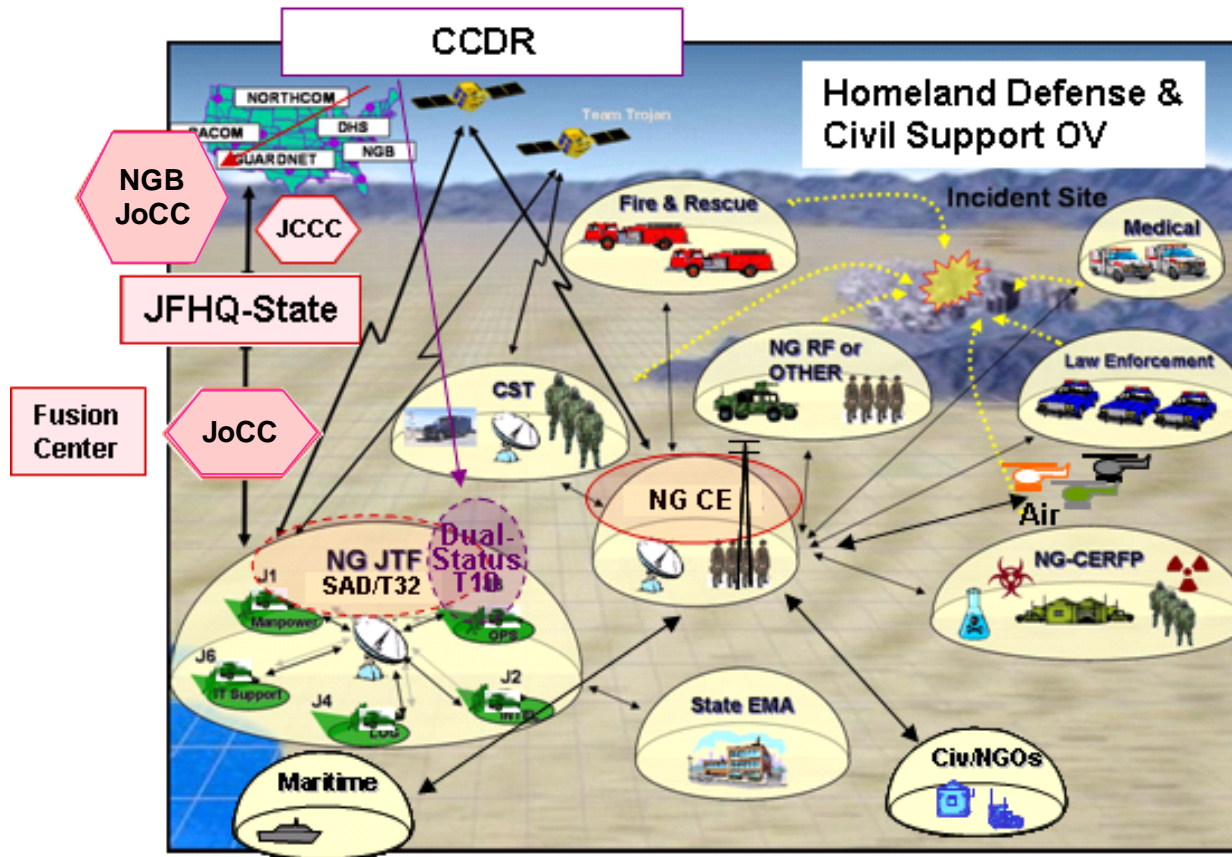
- Deployed command cells / JTF-State
- NG CBRNE Enhanced Response Force Packages (NG CERFPs)
- NG Reaction Forces (NG RFs)
- Other deployed NG requirements

14.2.2 NGCE Key Requirements

As described in the NG Wireless Operational Needs Analysis (Mar-Oct 2002), the initial operational requirements identified in the NGB J-6/Chief Information Officer (CIO) to support a JTF-State include:

- Interoperability among deployed NG and civilian responders
- Deployable communications and IT capabilities needed by NG forces at deployed sites
- Reach-back capabilities - incident site to JTF-State and JFHQ-State, and beyond
- Other capabilities as defined by validated trusted information exchange requirements

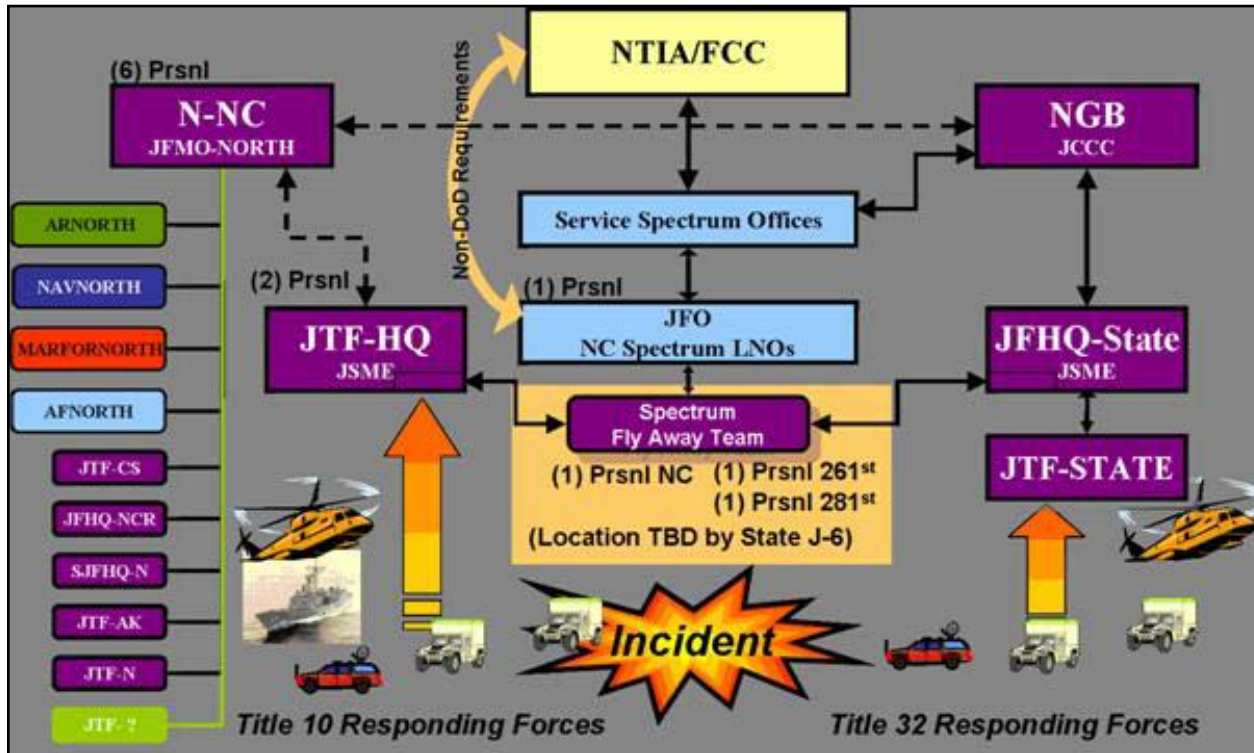
Figure 14-1: National Guard HD & Civil Support Operations View



14.3 The Spectrum Management Challenge

During contingency operations when the NG of a state is in a Title 32 status under the C2 of its respective Governor, there could be multiple Joint Spectrum Management Elements (JSME) when Title 10 forces are operating in the AO, one JSME for Title 10 forces and one JSME per JFHQ-State. This creates a situation where multiple JSMEs supporting spectrum requirements for their respective leadership will be functioning independently without formal command relationships established between them. In these cases, very detailed coordination and cooperation is required so military responders do not inadvertently commit “frequency fratricide”. This coordination can be accomplished through the deployment of the NGB J6 Spectrum Fly Away Team (SFAT) at the request of the JFHQ-State J6. The SFAT is a team of two spectrum managers, one ANG and one ARNG, which can deploy to the location determined by the requesting JFHQ-State J6 to augment the JFHQ-State/JTF-State J6 JSME. If Title 10 forces arrive in the AOR, a USNORTHCOM spectrum manager could co-locate with the SFAT to deconflict spectrum issues at the lowest level possible. Hurricane Katrina showed how this lack of knowledge negatively impacted coordination efforts required to successfully utilize military assets in support of contingency operations.

Figure 14-2: Spectrum Relations



14.3.1 Key JSME Responsibilities

- Exercise frequency allotment through the publication of a Joint Communications Electronics Operating Instruction (JCEOI).
- Prepare a joint restricted frequency list (JRFL) for approval by the J-3. This is accomplished through membership in the Information Operations (IO) cell, or equivalent, and in conjunction with the Joint Force J-2, J-3, and J-6. The JRFL is a time and geographically-oriented listing of TABOO, PROTECTED, and GUARDED functions, nets, and frequencies. It should be limited to the minimum number of frequencies necessary for friendly forces to accomplish objectives.
- Update and distribute the JRFL periodically, or as required by changes in the task organization, geography, JCEOI, and transition through operational phases.
- Conduct coordination with other associated JSMEs as appropriate to the execution of operations at an incident site.

14.3.2 SFAT Responsibilities

- Augment the JFHQ-State J6 JSME at location to be determined by the requesting state.

Domestic JTF Commander Handbook

14.3.3 SFAT Capabilities

- Team of two spectrum managers with one from ANG and one from the ARNG.
- Capable of obtaining spectrum resources to support JFHQ-State contingency plans.
- Teams deploy with laptop containing Spectrum XXI extract of AOR, ACES/JACS for JCEOI development, SKL/ANCD and a handheld Rhode and Schwartz spectrum analyzer to assist in determining source of electromagnetic interference.

15. Public Communications

15.1 Developing an Integrated Public Communications Plan

A number of tools and activities facilitate the integration of the Domestic JTF communications with those of other federal departments and agencies responding to an incident. These are: an integrated media strategy; public affairs guidance; internal coordination; and a public affairs plan.

An integrated media strategy ensures unity of effort. The delivery of consistent, timely and factual information across a variety of media and from a variety of sources can save lives, sustain morale and reinforce faith in our institutions during a time of great challenge and stress. There is no one format for an integrated media strategy. Still, practice suggests it will include, (1) a background statement that explains why the document is being created; (2) a theme, or the one central idea to be communicated; (3) enabling objectives which support the theme; (4) messages and specific talking points which support the objectives; (5) a description of the audience segments to be reached; (6) a list of media available; and (7) a discussion of the best mix of media to reach the audience segments with those messages.

15.1.1 Public Affairs Guidance (PAG)

The PAG is a key element of an integrated media strategy because it ensures unity of effort among the supporting CCDR, the Military Departments, the CJCS, and ASD(PA) by providing CDRs and PAOs with a common reference for discussion with the news media and others. The PAG forms the basis of DOD coordination with DHS as a member of the “federal core group,” and the JFC’s coordination with the JIC.

The PAG is essentially a package of information for all public affairs officers which supports the public discussion of defense issues and operations. Included could be references to policies which govern the operation, approved public affairs policy, news statements, and answers to anticipated media questions. Table 15-1 outlines the key elements of the PAG. It is typically developed in draft format by the COCOM’s public affairs office. It is then coordinated, at a minimum, with the ASD(PA) and the JTF Public Affairs Office.

Domestic JTF Commander Handbook

Table 15-1: PAG Elements

| Element | Description |
|--|---|
| <i>References</i> | Documents which support the activities of the JTF (These are typically good references for reporters.) |
| <i>Purpose</i> | Explains why the PAG is being written |
| <i>Background</i> | What events led to the current situation |
| <i>Public Affairs Posture & General Public Statement</i> | <ul style="list-style-type: none">▪ Active Posture: Seek out media contact▪ Passive Posture: Response to Query▪ Short statement all PAOs may read to the press which explains the current situation and delivers appropriate messages to the public |
| <i>Theme</i> | What one point should the audience understand from the communications |
| <i>Key Messages</i> | What other points, which support the theme, should the audience understand |
| <i>Talking Points</i> | What specific items of information support delivery of the messages |
| <i>Questions & Answers (Q&As)</i> | What are some anticipated questions and answers |

15.1.2 Internal Coordination

Another key element of a Domestic JTF Commander's integrated media strategy is to maintain communications with their internal stakeholders. This is an internal function that the CDR's public affairs office will manage for him.

15.1.3 Working with the Media

The primary means of covering domestic operations is via open and independent coverage by properly credentialed news media. There will be situations, especially in the deployment of joint forces or in support of specific missions, in which the formation of a news media pool is the most appropriate public affairs COA.

15.1.3.1 News Media Pool Coverage

Planning for such a possibility should include provisions to accommodate the DOD National Media Pool or locally formed pools and provide equipment, transportation, and communications assets necessary to gather information and file stories about the

Domestic JTF Commander Handbook

joint force. JP 5-0, *Joint Operation Planning*, establishes planning requirements for employment of the DOD National Media Pool in all contingency missions.

15.1.3.2 Standards and Processes for Credentialing Media

It should be anticipated that when the NRF is initiated, there will be considerable interest from local, regional, and national media. Given the dangerous nature of military missions, is not unreasonable to request reporters be accredited to cover military-related NRF activities. Accreditation can also be used to plan logistical requirements at JIC news briefings and to secure interviews with military leaders and service members. However, as witnessed in Hurricanes Katrina and Rita, this may be a difficult undertaking in the CONUS with the proliferation of communications and the open accessibility of areas to the media.

Accreditation procedures should be coordinated with the JIC. Typical procedures are:

- Requests should be on official letterhead stationery and signed by a news director or officer of the news organization. They should include the name, employee ID, affiliation, dates of access requested, and business and emergency contact information.
- A laminated picture ID with the month and year accreditation expires should be provided the accredited reporter upon his or her arrival in the command.

JFCs must ensure that credentialed news media covering their operations are granted access to military units and activities consistent with operations security. The goal is to provide journalists a complete overview of the entire operation, subject to security restrictions, and to assist journalists in reporting about the objectives and accomplishments of joint operations and the complexity of challenges faced by military forces. Concern about the personal safety of reporters is not a reason for limiting access.

15.1.3.3 Operations Security

When a formal security review of news media products may be necessary, the most usual cases, especially for disaster relief operations inside the United States, should involve the disciplined practice of "security at the source."

- Under that concept, those meeting with the news media shall ensure that classified information is not revealed.
- When necessary, news media agreement to reasonable ground rules for coverage will reinforce, but not replace, individual awareness of sensitive material.
- Through early inclusion in the planning process, the public affairs officer will be aware of the various aspects of the mission and will understand clearly the inherent security sensitivities, thereby decreasing the chances of a security lapse and increasing the opportunities for a successful effort.

Domestic JTF Commander Handbook

15.2 Accommodating Distinguished Visitors

The following are some items that should be taken into consideration when planning for distinguished visitors:

- Plan as far ahead as possible. If at all possible, coordinate distinguished visitors' itineraries before the visitors depart for the operational area. Be flexible in execution, however.
- Know the purpose of the visit and provide appropriate experiences.
- Include in the visitor's itinerary visits and/or briefings with military and civilian senior leaders as well as with the troops.
- If classified information is to be discussed, ensure clearances are passed in advance.
- As appropriate, provide opportunities for the visitor to meet with the media.
- Don't over-schedule. In stressful environments especially, allow time for meals, talking with troops and rest.
- Provide adequate logistical support from reception to departure, including transportation of people and things, housing, and meals.

15.2.1 Credentialing Visitors

Distinguished visitors may include both current and former U.S. and foreign civilian and military leaders as well as other guests of the command. The headquarters' protocol office will assist in establishing and following visitor procedures/protocols. Generally, visits require the generation and handling of a significant amount of information, to include:

- Visitor's name, rank and service or title
- The visitor's social security number
- Place and date of birth
- Clearance level and date granted
- Investigation and date completed
- Access requested
- Purpose of visit
- Date(s) of visit
- Visitor's point of contact (person actually being visited) and phone
- Visitor's organization and mailing address
- Security manager's name, signature, and date
- Security manager's phone/email/fax
- If access to NATO information is required, the North Atlantic Treaty Organization (NATO) level and NATO briefing date must be included.

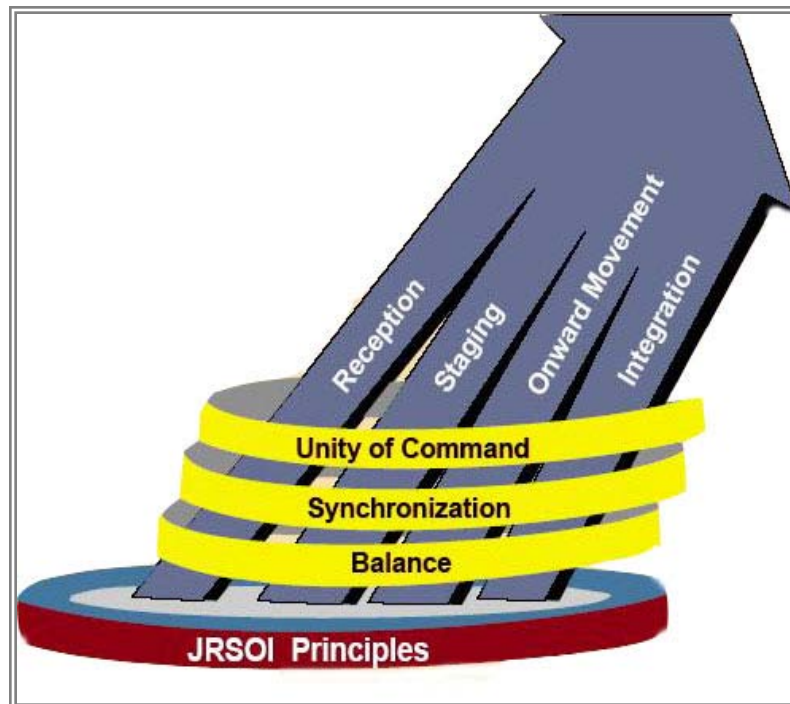
16. Joint Reception, Staging, Onward Movement and Integration

16.1 JRSOI Processes and Timelines

JRSOI is the essential process that transitions deploying forces, consisting of personnel, equipment and materiel arriving to the AOR, into forces capable of meeting the CJTF's operational requirements. There are four segments of JRSOI as illustrated in Figure 16-1 and discussed below.

- **Reception** operations include all those functions required to receive and clear unit personnel, equipment and materiel through the Point of Debarkation (POD).
- **Staging** assembles, temporarily holds, and organizes arriving personnel, equipment and materiel into units and forces and prepares them for onward movement and operation.
- **Onward Movement** is the process of moving units and accompanying materiel from staging areas to tactical assembly areas (TAAs) and/or operational areas (OAs) to other theater destinations.
- **Integration** is the synchronized hand over units into an operational CDR's force prior to mission execution.

Figure 16-1: JRSOI Segments and Principles



16.1.1 JRSOI Stages: Planning

The CJTF is responsible for planning and executing military operations in the AOR. These responsibilities encompass all facets of RSOI. Joint operation planning is a coordinated process used by the CJTF to determine the COA for accomplishing the assigned task and to direct the actions necessary to accomplish the mission.

During deployment planning all of the requirements to support JRSOI activities need to be addressed. These requirements can be broken down into two categories: operational and support. Operational requirements include training, force protection and C4I systems that support the visibility of the JRSOI process. Support requirements include

Domestic JTF Commander Handbook

transportation, infrastructure, sustainment, and land management. JRSOI requirements should appear in all planning documents and OPLANs.

To create the OPLANs, military planners use the JOPES as the primary tool for crisis action and deliberate planning, as well as, executing strategic deployments. JOPES is an integrated system of people, policies, procedures, and reporting systems. It is through JOPES that the following deliberate plans are developed:

- Operational Plan in Concept Format – A CONPLAN is a joint operation plan in an abbreviated “concept” format. A CONPLAN may or may not contain a TPFDD.
- Operation Plan – An OPLAN is a complete and detailed joint operation plan. An OPLAN includes detailed annexes with associated appendices and a TPFDD. (See an example of an Oregon OPLAN, Appendix 19.5)
- Functional Plan – A functional plan is developed for specific military operations (for example, AOR logistics, C4I infrastructure, and continuity of operations).

In addition to these plans, the CJTF must assess the impact of the operational environment and threats in relationship to the JRSOI mission. A threat assessment is the first step in understanding the operational risk to JRSOI operations and developing risk controls to mitigate the perceived threat. Based on the assessed threat, the CJTF must determine where to accept risks, where to focus protection efforts, and how much of the force should be initially devoted to force protection. The threat assessment should include threats to the following:

- Contracted Support
- Information resources
- Staging Areas
- Other nodes deemed critical for successfully executing JRSOI
- Nongovernmental organizations
- Pre-positioned equipment facilities
- Assembly areas

Infrastructure assessments are also key to understanding the capabilities and limitations of the operational area as well as the AOR to support JRSOI operations. It serves as a basis to determine the JRSOI forces, equipment, and materiel that must be deployed as well as facility upgrades required to enhance operations. Figure 15-2 provides examples of infrastructure assessment items.

Figure 16-2: Examples of Infrastructure Assessment

| PHYSICAL NETWORK | RESOURCE NETWORK |
|--|---|
| <ul style="list-style-type: none">• Airports• Seaports• Highways• Railroads• Bridges• Tunnels• Terminals• Inland Waterways• Storage Facilities• Pipelines | <ul style="list-style-type: none">• Aircraft• Ships• Trucks and Rail Equipment• Lighterage• Contractors• Material Handling (Equipment and Cargo Handling Equipment)• Civilian, Government, and Military Personnel |

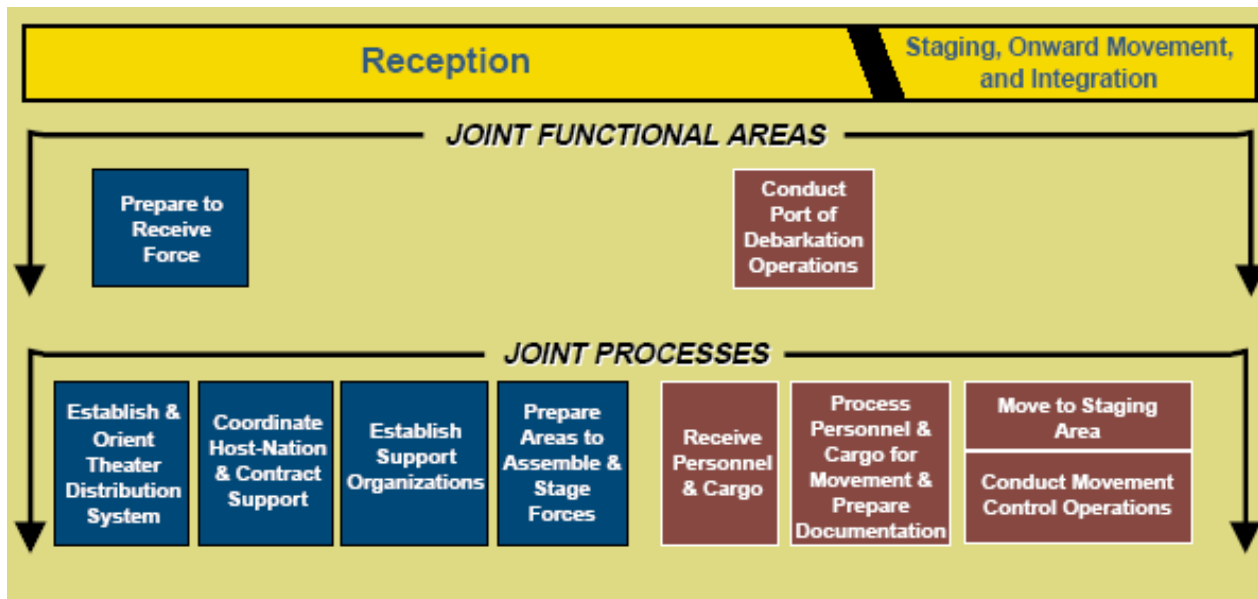
An understanding of information resources and planning is essential for the CJTF. Receiving detailed information concerning infrastructure and transportation capabilities, maintaining the visibility of assets that will move on that infrastructure, and the ability to C2 this information, play a key role for planning and working JRSOI.

One aspect of this planning includes the collection and maintenance of infrastructure data (intelligence). This data includes information on infrastructure capacity and condition as well as engineering capability (ports, railroads, inland waterways, roads, airfields, bridges, off-road land tractability, power plants, and communications nodes) in the AOR. The second aspect of information resource planning is an understanding of the communications network. The communications network is a critical infrastructure requirement that enables information collection and management. Communications networks are an intricately managed resource that requires detailed planning. It should be noted that initial phases of a deployment may not have a robust communications network. These two aspects come together to provide effective information management, which, in turn, enables leaders to make sound and timely decisions regarding the JRSOI process.

16.1.2 JRSOI Stages: Reception

Reception is the process of receiving, offloading, and transporting personnel, equipment, and materiel from strategic phase to the staging area. Reception begins with the arrival of deploying forces and equipment into an AOR, and is made up of two functions; prepare to receive the force and conduct operations. Figure 15-3 below illustrates the steps associated with this stage.

Figure 16-3: JRSOI – Reception Process



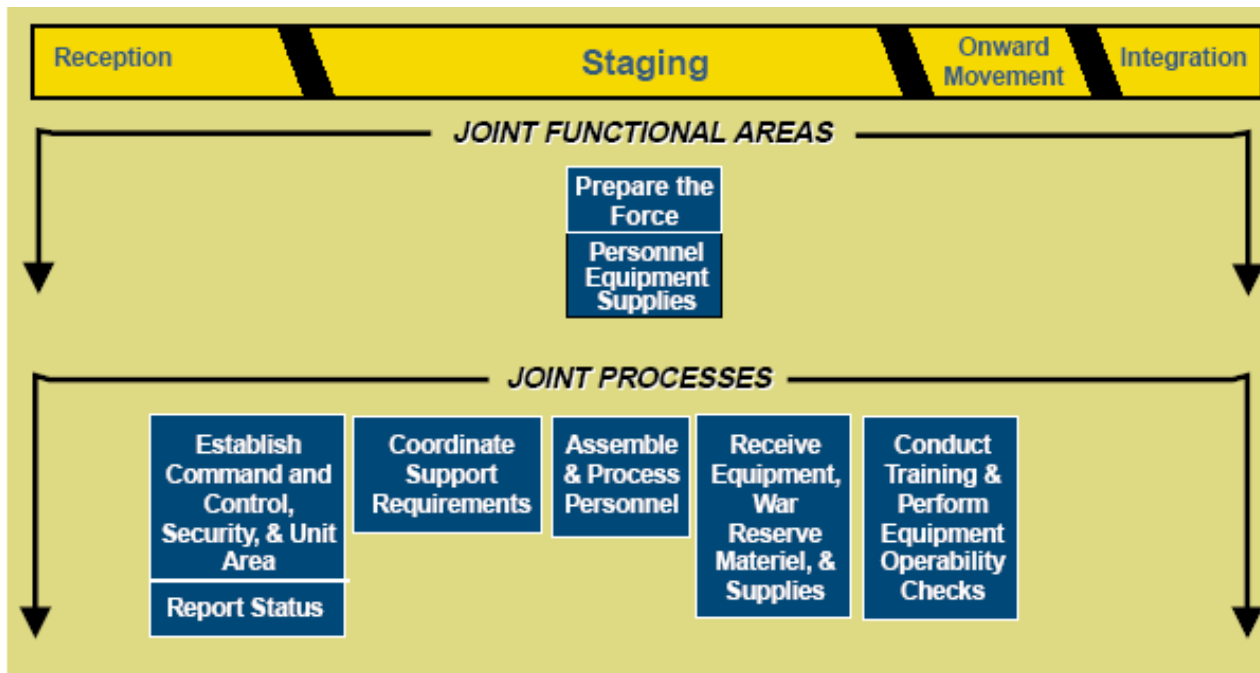
16.1.3 JRSOI Stages: Staging

Staging includes the assembling, temporary holding, and organizing of arriving personnel, equipment, and materiel into units and forces, and preparing them for onward movement and deployment. During staging, deployment deploying forces have limited mission capability and are not self-sustainable. The CJTF must provide facilities, sustainment, life support, and protection until deploying units regain their mission capability.

During staging, CJTFs continue the process of regaining integrity of their units as personnel, equipment, and materiel are assembled and prepared for operations. The major objective to staging is to assemble and prepare the force to perform their mission. The staging process consists of distinct steps as illustrated in Figure 16-4 and described below.

- Prepare the force – Units will arrive at the Staging Area (SA) and begin preparations for movement into the operating area. Support activities in the SA provide life support until units become self-sustaining.
- Establish C2 – C2 functions are vital to the overall success of staging forces. Staging requires operational command and staff organizations, information management, and reliable communications systems.
- Report Status – Units continuously monitor the status of preparation in key operational and logistic areas as they prepare for the mission and report status to higher headquarters. Movements and the status of units should be reported from all nodes where JRSOI operations are being conducted.

Figure 16-4: JRSOI – Staging Process



Ultimately, when CDRs determine their unit's level of readiness against the readiness standards established by the CJTF as mission-capable, they are scheduled for onward movement to a final destination for integration.

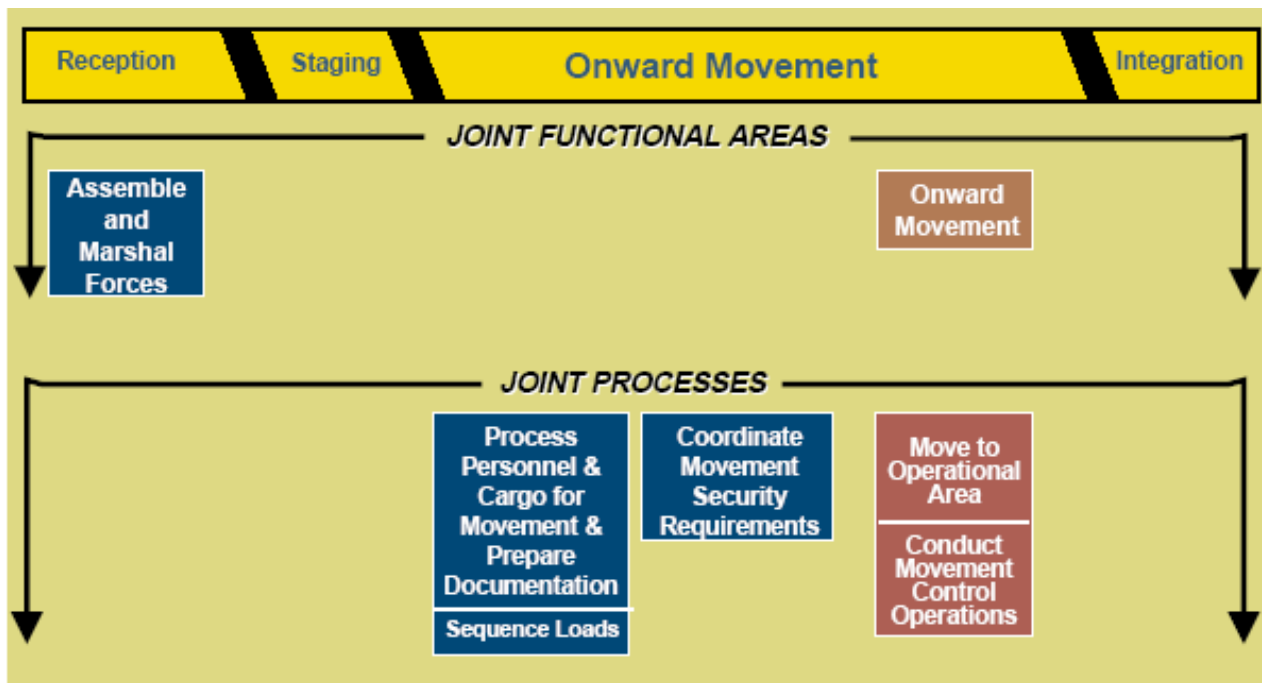
16.1.4 JRSOI Stages: Onward Movement

Onward movement is the process of moving units and accompanying materiel from reception facilities to operating areas. Efficient onward movement of personnel, equipment, and materiel requires a balanced, integrated system of node operations, movement control, and cargo transfer operations.

Onward movement consists of several steps as illustrated in Figure 8-5 and described below.

- **Assemble Forces** – Assembly of forces involves bringing together personnel, supplies and equipment in preparation for movement.
- **Process Personnel and Cargo for Movement** – Load plans are developed and checked to ensure that essential equipment and supplies can be transported.
- **Sequence Loads** – Loads are sequenced to ensure the most efficient use of available transportation assets while meeting the CJTF's requirements.
- **Move to Operational Area** – Units depart the staging area en route to the operating area in accordance with movement and security instructions.

Figure 16-5: JRSOI - Onward Movement Process



Key elements of the onward movement process are speed of movement and information flow. Speed of movement is vital for force protection and mission accomplishment. Information flow encompasses locations and capabilities of forces, projected and actual arrival times at en route and final destinations, and component commands' ability to effect the movement.

16.1.5 JRSOI Stages: Integration

Integration is the synchronized transfer of mission-ready units into the CJTF's force. Integration may take hours or days. The complexity and time required for integration depends on the size, contingency conditions, coordination and planning. C2, communications and security are the priority of effort during the integration phase. Integration is complete when the receiving CDR establishes C2 over the arriving unit and the unit is capable of performing its assigned mission.

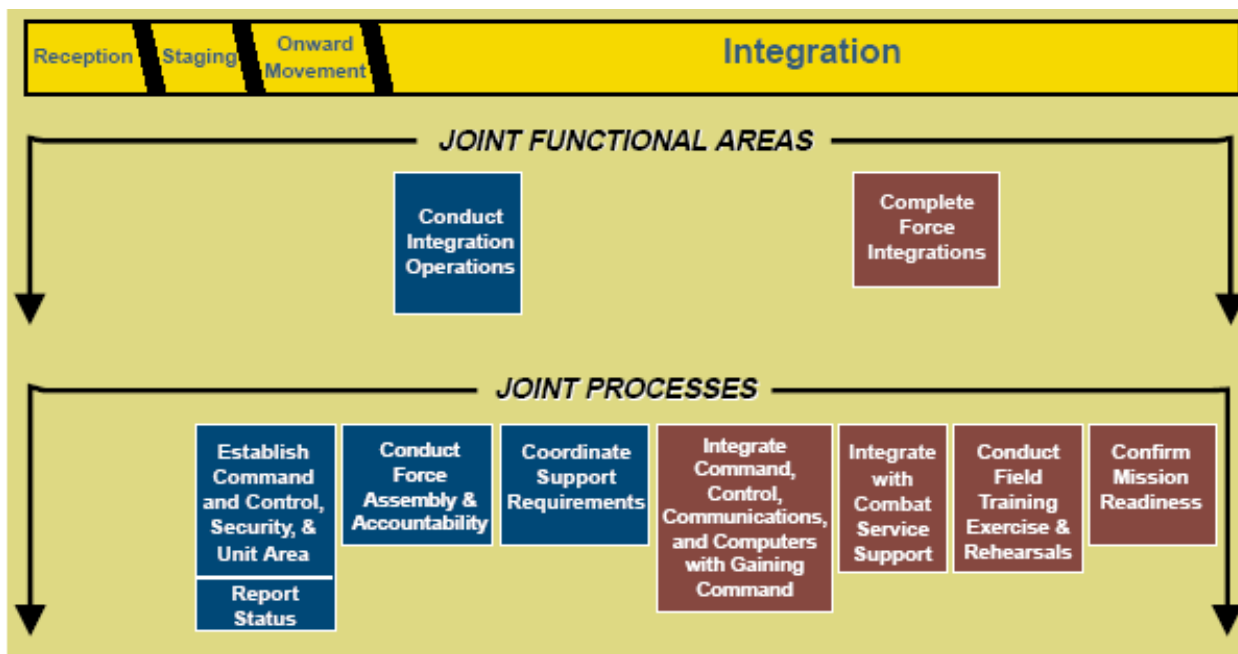
By definition, integration is the final element of JRSOI and is normally accomplished concurrently with other force projection and JRSOI tasks. It can occur anywhere along the JRSOI continuum and is normally the last JRSOI element to be completed. The specific steps of the integration are as follows (also illustrated in Figure 8-6):

- **Conduct Integration Operations:** The integration area is a location designated by the CJTF where units will be transferred into the force, and be prepared for employment. Units arrive at the integration area and continuously monitor the status of preparation in key operational and logistic areas as they prepare for the mission.

Domestic JTF Commander Handbook

- Establish C2 – C2 is established and liaison elements are sent to higher, adjacent, external, and subordinate organizations as the mission requires.
- Report Status – Units continuously monitor the status of preparation in key operational and logistic areas as they prepare for the mission and report status to higher headquarters.
- Conduct Force Assembly and Accountability – Units perform a final unit assembly; account for equipment, supplies and personnel; and report status to the gaining command.
- Coordinate Support Requirements – Coordination is established with the operating area support activities to provide logistic support and services.
- Complete Force Integration: The unit is integrated with logistics and operational components of the gaining command and completes any final command-directed training and activities before being committed to missions.
 - Integrate C4 with Gaining Command – C4 is completely integrated with the gaining command, supporting commands, units, JRSOI organizations, and CDRs at all levels to facilitate the timely and accurate exchange of critical information.
 - Confirm Mission Readiness – CDRs report their units' status in accordance with the readiness criteria established by the CDR and confirm when ready to execute their assigned missions.

Figure 16-6: JRSOI - Integration Process



The JRSOI process ends when the unit CDR reports the unit is ready for operations and the unit is integrated with its higher headquarters.

17. J7 Considerations

17.1 Overview

The NGB Joint Lessons Learned Branch is responsible for collecting, processing, analyzing and disseminating information in partnership with the JFHQ-S and NGB Staff. When directed by CNGB, the NGB Joint Lessons Learned Program will provide collection and analysis support to the DOD, DHS/HD, and TAGs, for events at the strategic, operational, and tactical level.

17.1.1 NGB – Lessons Learned Branch

The NGB Lessons Learned Branch is the coordinating office for all collection activities involving NG equities. The dynamic of the collection is dependent upon the magnitude of the event and organizations required or wishing to participate. Centralized coordination is essential to ensure a COP.

NGB Lessons Learned branch provides standardized training to NG personnel in procedural knowledge and techniques to quickly evaluate situations, identify issues, and provide feedback. A NG Lesson Learned network is being developed to provide the NG with relevant, timely information in support of real world operations and exercises. NGB partnership, with DOD and Department of Homeland Security Lessons Learned organizations, is the nucleus for a NGB JFHQ-S Lesson Learned Enterprise.

Figure 16-1: Lessons Learned Organizations and Contacts

| Organization | Contact | Webpage |
|---|---|---|
| <i>National Guard Bureau J7 Lessons Learned</i> | Mr. Gary Clawson DSN 327-3204; (703) 607-3204 or Mr. Mark Boblitz DSN 327-1424; (703) 607-1424 | https://www.jllis.mil/ngb/ |
| <i>Center for Army Lessons Learned</i> | Mr. Larry Hollars DSN 552-6581; (913) 684-9581 | http://call.army.mil/ |
| <i>Joint Center for Operational Analysis</i> | Mr. Tom Travis (757) 203-6102 | https://www-secure.jwfc.jfcom.mil/login |
| <i>Marine Corps Center for Lessons Learned</i> | Lt Col Don Hawkins DSN 378-1282; (703) 432-1282 | https://www.mccl.usmc.mil/ |
| <i>Air Force A9L</i> | Mr. Gary Gault DSN 426-0207; (703) 696-0207 | https://afknowledge.langley.af.mil/afcks/default.asp?sel=AFCKSLI |

Domestic JTF Commander Handbook

| | | |
|--|--|--|
| <i>JS J7/JETD Lessons Learned</i> | Mr. Shelby Ball DSN 222-2263; (703) 695-2263 or Mr. James Barr DSN 225-3484; (703) 695-3484 or LCDR Sam Tanner (571) 256-1939 | NONE |
| <i>USNORTHCOM Lessons Learned</i> | Lt Col David DeMorat N-NC/J74 Joint Support Division DSN 834-3649, (719) 556-3649 | https://lessons.noradnortcom.mil/ https://operations.noradnortcom.mil/sites/nncJ7/nncJ74/nncJ743/default.aspx |
| <i>Lessons Learned Information Sharing (DHS)</i> | Mr. <u>Brian C. Wiechowski</u> (202) 416-0121 bwiechowski@llis.dhs.gov | bwiechowski@llis.dhs.gov https://www.llis.dhs.gov/index.do |
| <i>NGB Liaison to FEMA National Integration Center</i> | LtCol Kimberly Sencindiver (202) 646-3609 | NONE |

17.1.2 Additional Lessons Learned Entities

National Guard Bureau Joint Lessons Learned Issue Resolution Board (IRB) - The NGB is developing a NGB Joint Issue Resolution Board (IRB) to perform the following lessons learned issue resolution (corrective action) functions: 1) identify and analyze NG-specific observations collected through the National Guard Joint Lessons Learned Information System (JLLIS) that impact NGB operations, 2) validate findings, 3) recommend to the Director of the Joint Staff (DJS) findings/issues for resolution, 4) recommend offices of primary responsibility (OPRs) and offices of coordinating responsibility (OCRs), 5) identify OPR & OCR points of contact (POCs), 6) determine if the findings impact DOTMLPF, 7) recommend corrective actions, 8) tracks and monitors the implementation of lessons learned, and 9) and provide regular updates to the DJS on the status of the issue resolution process. The core membership of the IRB will include, but is not limited to representatives from the various NGB Joint Staff and Special Staff, ARNG and ANG, as well as selected State Guard representation as required.

National Guard Joint Lessons Learned Steering Committee (NGJLLSC) - The NGJLLSC is comprised of the Directors of the NGB Joint Staff and the Deputy Directors of the ARNG and ANG and will meet quarterly to review the work of the IRB, provide

Domestic JTF Commander Handbook

guidance for issue being worked and recommend closing issue when actions are completed.

National Guard Lessons Learned Information System (JLLIS) - The Chairman of the Joint Chief of Staff (CJCS) has directed that all DOD agencies establish the Joint Lessons Learned Information System (JLLIS) as the system of record for all lessons learned activities. The purpose of the NG JLLIS is to assist all NG organizations in continuously improving their capability and effectiveness by acting as a unique and authoritative source for relevant observations, discussions, and recommendations (ODRs) and ultimately lessons learned concerning NG domestic operations and exercises. JLLIS is an integral part of the NG Joint Lessons Learned Program (JLLP). The JLLP is defined as a role and process-driven, technology-enabled, knowledge management methodology that captures and leverages NG experience and best practices to improve operational effectiveness of the NG across all mission sets. The goal is for NG JLLIS to be conveniently accessible to NG leadership and operators at every level and easy to use.

Lessons Learned Information Sharing (LLIS.gov) - Lessons Learned Information Sharing (LLIS.gov) is a US Department of Homeland Security/Federal Emergency Management Agency program. LLIS.gov serves as the national, online network of lessons learned, best practices, and innovative ideas for the emergency response and homeland security communities. This information and collaboration resource helps emergency response providers and homeland security officials prevent, protect against, respond to, and recover from terrorist attacks, natural disasters, and other emergencies. LLIS.gov provides federal, state, and local responders with a wealth of information and front-line expertise on effective planning, training, and operational practices across homeland security functional areas. For access to LLIS, register at: <https://www.llis.dhs.gov>.

17.1.3 Best Practices Collaboration

The NGB J7 Lessons Learned team has access to LMS and the DHS LLIS utilized by all DHS agencies. In addition, NGB J7 LL has developed a strong relationship with the Center of Army Lessons Learned (CALL), Air Force A9L, and the Marine Corp Center for Lessons Learned (MCCLL).

18. Special Staff / Personal Staff

18.1 Chaplain Operations

18.1.1 Planning/Forming Requirements

18.1.1.1 Mission

The JTF Chaplain in the Homeland has the unique role of providing Religious Support for military personnel, as well as, to assist the CDR in facilitating the mitigation of suffering of civilians during disasters. This is primarily conducted through Defense Support to Civilian Authorities (DSCA), Interagency, and Intergovernmental and faith-based/non-governmental organizations via *collaboration and the coordination of partnerships*. The JTF Chaplain will need to plan to execute religious support operations not only for military personnel but also consider collaboration with the civilian communities within the Joint Area of Operations (JOA). Providing pro-active supervision of assigned Religious Support Teams (RSTs)³¹ will assist the CDR in both the provision of quality spiritual care to assigned military forces but also provide situational aware of the humanitarian response within the JOA.

18.1.1.2 Prevailing Themes

- Spiritual Support
- Social networking is a powerful tool to assist in shaping a culture of preparedness during the Shaping Phase.
- As a religious diplomat, the JTF Chaplain facilitates a synergy of effort through collaboration with potential mission partners across the spectrum of his/her area of interest prior to an event. Doing so provides a means to be familiar with the major players active in disaster response thus facilitating trust and good will.
- The JTF Chaplain can connect helping organizations and government agencies thus maximizing preparedness, reduce frictions between factions, and can potentially negotiate solutions to complex religious, moral and ethical questions or dilemmas prior to a disaster.
- Prior to an event, religious and humanitarian support should be coordinated with mission and interagency partners, as well as, included in contingency plans. Well-developed religious support plans assists in giving the JTF Chaplain and

³¹ Religious Support Team (RST). A team that is composed of at least one chaplain and one enlisted support person. RSTs assigned at Joint Staff and COCOM level may be from different Services; those assigned at joint task force and below are normally from the same Service. The RST works together in designing, implementing, and executing the command religious program. (See also combatant command chaplain; command chaplain; lay leader; religious support; religious support plan.)(JP 1-02, *DOD Dictionary of Military and Associated Terms*)

Domestic JTF Commander Handbook

his/her mission partners an understanding of capabilities, processes and methodologies.

- Trust is Powerful.
 - The JTF Chaplain must always bear in mind that trust is foundational for communities' and all social networks. Without trusting relationships, little will be accomplished strategically—fear, cynicism and skepticism will prevail along with rumors. Thus, impediments to building social networks include conspiracy theories, as well as, suspicions about governmental encroachment into civilian interests and affairs.
 - Building Resiliency
 - Complex collaboration with the civilian sector is not part of the traditional approach of military chaplaincy in the United States. This new emphasis on civilian sector collaboration requires a paradigm shift for the JTF Chaplain.
 - Facilitating unit resiliency or hardiness requires a comprehensive approach by the JTF Chaplain.
 - *“An ounce of prevention is worth a pound of cure” or “better safe than sorry,”* go the old proverbs. The planning phase is the most challenging of all the phases. Why? Because people simply do not believe, that disaster will occur in their area. Shaping culture, planning and networking are the major focus of this phase and are critical for the JTF Chaplain. Major activities of the JTF Chaplain during the planning are:
 - Planning contingency operations
 - Communicating with mission partners
 - Collaborating with mission partners
 - Networking with local and governmental agencies and mission partners
 - Conduct network assessment
 - Motivating mission partners both military and civilian
 - Connecting agencies and mission partners
 - Assessing capabilities of mission partners
 - Identifying potential gaps in capabilities
 - When necessary attempt to mitigate gaps

18.1.1.3 Anticipation and Outreach

- Saving lives. The JTF Chaplain plays a critical role in shaping a culture of preparedness at all levels. As sacred storytellers, the JTF Chaplain shapes a culture of preparedness through messages, activities and actions that interconnect communities. Doing so, can raise consciousness and perhaps weave

Domestic JTF Commander Handbook

a fabric of strong interpersonal relationships that facilitate preparedness and assist in disaster response.

- The goal of all of this is to assist the CDR in mitigating human suffering and provide the highest quality pastoral care and support to committed military forces.

18.1.2 Deploying/ Employment

18.1.2.1 Analysis. During deployment and employment of forces, the JTF Chaplain must conduct a full range of analysis to ensure that all of the factors taken into consideration. There is no one national level center to facilitate information sharing and processing for the Faith Based Organizations and Non-governmental Organizations.

18.1.2.2 Interoperability – NGB and Title 10 Forces. As a rule, military chaplains in active duty (Title 10) status will not be the first to respond to a natural or manmade disaster. Normally, NG forces in state status and under the control of the governor will constitute the first military responders at the disaster site. Before federal help is provided, state and local resources must be exhausted, and the governor of the affected state must issue a request for federal assistance (RFA).

18.1.2.3 Mutually Supportive Relationships – NGOs, Faith-Based Organizations (FBOs), Intergovernmental Agencies

- Under the NRF, the majority of human disaster care falls under ERF #6, *Mass Care*, with the National Voluntary Organizations Active in Disaster (NVAOD) providing some oversight of its fifty plus members but with no authority. There is also spiritual care provided under ESF #8, *Medical Services*, under the lead of Health and Human Services. The challenge for JTF Chaplain is to anticipate the support that he/she may be asked to provide in a disaster.
- The JTF Chaplain facilitates a synergy of effort and collaborates with mission partners but does not “establish” a governmental religion. Through communication, the JTF Chaplain connects people with helping organizations thus maximizing opportunity-reducing friction thus creating solutions to complex humanitarian support issues.
- Religious diplomacy embraces the higher calling of peacemaking, humanitarian assistance in pursuit of reducing suffering, mitigating conflict and assisting in finding collaborative solutions to complex human problems.
- The JTF Chaplain shapes and influences the community through social networking, building good will, making known humanitarian issues/concerns and persuasive sacred storytelling. Collaboration, building co-creative partnerships, sharing information and facilitating dialog are the competencies underlying the success of the JTF Chaplain in homeland contingencies.

Domestic JTF Commander Handbook

18.1.2.4 Activities

- Identifying recovery requirements
- Facilitating recovery response
- Connecting mission partners
- Shaping response
- Monitoring operation
- Analyzing data
- Reporting information to mission partners
- Anticipating future needs and requirements

18.1.3 Redployment

18.1.3.1 Provides planning and anticipates requirements during the transition of service members to home station or community. Potentially conducts or coordinates stress debriefings along with planning or participating in an established integral/multidisciplinary reintegration program.

18.1.3.2 The JTF Chaplain coordinates, communicates and collaborates with his/her mission partners to assist in reintegration of service members in his/her home station or community.

18.1.3.3 Socializes what the RSTs and FBOs have accomplished during the deployment.

18.1.4 Conclusion

18.1.4.1 Though challenging, building a social network focused on shaping a cultural of preparedness and developing a common operating picture will significantly improve the quality of humanitarian response, facilitate a culture of preparedness, as well as, grow resilient mission partnerships.

18.1.4.2 Daunting though these challenges might seem to be, the JTF Chaplain who works to craft a culture of preparedness through social networking will reap a great harvest for the American people, who when faced with a disaster, will discover a quiet force ready and able to provide quality pastoral care to assigned military forces and humanitarian assistance.

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Part 5: Appendices

19. Appendices

19.1 Acronyms and Abbreviations

| | |
|----------|--|
| ACCE | Air Component Coordination Element |
| ADCON | Administrative Control |
| ADOS | Active Duty Operational Support |
| ADVON | Advanced Echelon |
| AFARS | Army Federal Acquisition Regulation Supplement |
| AFNSEP | Air Force Emergency Preparedness Agency |
| AFI | Air Force Instruction |
| AI | Area of Interest |
| ALERTORD | Alert Order |
| ANG | Air National Guard |
| ANGUS | Air National Guard of the United States |
| AO | Area of Operations |
| AOR | Area of Responsibility |
| AR | Army Regulation |
| ARNG | Army National Guard |
| ARNGUS | Army National Guard of the United States |
| ARNORTH | US Army North |
| ASD(HD) | Assistant Secretary of Defense for Homeland Defense |
| ASD(PA) | Assistant Secretary of Defense for Public Affairs |
| AS/PA | Assistant Secretary / Public Affairs |
| ATSD/IO | Assistant to the Secretary of Defense for Intelligence Oversight |
| ATON | Aids to Navigation |
| C2 | Command & Control |
| C3 | Command, Control & Communications |
| C4 | Command, Control, Communications and Computer Systems |
| C4I | Command, Control, Communications, Computers & Intelligence |
| CALL | Center for Army Lessons Learned |
| CAP | Crisis Action Planning |
| CBRNE | Chemical, biological, radiological, nuclear, or high-yield explosive |
| CBRN | Chemical, Biological, Radiological or Nuclear |
| CCDR | Combatant Commander |
| CCIR | Commander's Critical Information Requirements |
| CD | Counterdrug |

Domestic JTF Commander Handbook

| | |
|-----------|---|
| CERFP | CBRNE Enhanced Response Force Package |
| CI | Counterintelligence |
| CIE | Collaborative Information Environment |
| CIFC | Combined Intelligence Fusion Center |
| CIO | Chief Information Officer |
| CIP-MAA | Critical Infrastructure Protection- Mission Assurance Assessments |
| CISO | Counterintelligence Support Officer |
| CJCS | Chairman of the Joint Chiefs of Staff |
| CJCSI | Chairman of the Joint Chiefs of Staff Instruction |
| CJCSM | Chairman of the Joint Chiefs of Staff Manual |
| CJTF | Commander, Joint Task Force |
| CND | Computer Network Defense |
| CNGB | Chief, National Guard Bureau |
| COA | Course of Action |
| COCOM | Combatant Command |
| CONOPS | Concept of Operations |
| CONPLAN | Concept Plan |
| CONR | CONUS NORAD Region |
| CONUS | Continental United States |
| COOP | Continuity of Operations |
| COP | Common Operating Picture |
| COTS | Commercial Off The Shelf |
| CPG | Contingency Planning Guidance |
| CS | Civil Support / Combat Support |
| CSS | Combat Service Support |
| CST | Civil Support Team |
| D&F | Determination and Findings |
| DCE | Defense Coordinating Element |
| DCO | Defense Coordinating Officer |
| DCTS | Defense Collaborative Tool Suite |
| DEARNG | Delaware Army National Guard |
| DepSecDef | Deputy Secretary of Defense |
| DFARS | Defense Federal Acquisition Regulation Supplement |
| DFO | Disaster Field Office |
| DHS | Department of Homeland Security |
| DIA | Defense Intelligence Agency |
| DIB | Defense Industrial Base |
| DIRLAUTH | Direct Liaison Authorized |
| DISN | Defense Information System Network |
| DNC | Democratic National Convention |
| DOD | Department of Defense |
| DODD | Department of Defense Directive |

Domestic JTF Commander Handbook

| | |
|---------|---|
| DODI | Department of Defense Instruction |
| DOPLAW | Domestic Operational Law Handbook |
| DRF | Disaster Relief Fund |
| DRG | Domestic Readiness Group |
| DSCA | Defense Support of Civil Authorities |
| DSEL | Dynamic Synchronization Events Listing |
| DTRIM | Domestic Threat Reduction Incident Management PCC |
| EIR | Essential Information Requirements |
| E.O. | Executive Order |
| EMAC | Emergency Management Assistance Compact |
| EOC | Emergency Operations Center |
| EPA | Environmental Protection Agency |
| EPR | Emergency Preparedness and Response |
| ESF | Emergency Support Function |
| EXORD | Execute Order |
| FAR | Federal Acquisition Regulation |
| FBI | Federal Bureau of Investigations |
| FBO | Faith-Based Organizations |
| FCO | Federal Coordinating Officer |
| FEMA | Federal Emergency Management Agency |
| FFIR | Friendly Force Information Requirement |
| FI | Foreign Intelligence |
| FP | Force Protection |
| FRAGORD | Fragmentary Order |
| FRC | Federal Resource Coordinator |
| FRERP | Federal Radiological Emergency Response Plan |
| G2 | Intelligence Staff at Department, Army, Corps and Division |
| G3 | Operations Plans and Training Staff at Department, Army, Corps and Division |
| G8 | Group of Eight |
| GCCS | Global Command and Control System |
| GCSS | Global Combat Support System |
| GEMA | Georgia Emergency Management Agency |
| GIS | Geospatial Information Systems |
| GS | General Service |
| HD | Homeland Defense |
| HS | Homeland Security |
| HSC | Homeland Security Council |
| HSIN | Homeland Security Information Network |
| HSOC | Homeland Security Operations Center |
| HSPD-5 | Homeland Security Presidential Directive 5 |
| IA | Interagency |

Domestic JTF Commander Handbook

| | |
|------------|---|
| IC | Incident Commander |
| IC | Intelligence Community |
| ICPACC | Incident communications Public Affairs Coordination Committee |
| ICS | Incident Command System |
| IDT | Inactive Duty Training |
| IER | Information Exchange Requirements |
| IG | Intergovernmental |
| IM | Information Management |
| INFOSYS | Information System |
| IO | Intelligence Oversight |
| IPB | Intelligence Preparation of the Battlespace |
| IR | Information Requirements |
| IRC | Internet Relay Chat |
| ISB | Intermediate Staging Bases |
| ISR | Intelligence, Surveillance, And Reconnaissance |
| IT | Information Technology |
| J-2 | Intelligence Directorate |
| J-3 | Operations Directorate |
| J-5 | Strategic Plans and Policy Directorate |
| J-6 | C4 Directorate |
| JCCC | Joint C4 Coordination Center |
| JCCSE | Joint CONUS Communications Support Environment |
| JCEOI | Joint Communications Electronics Operation Instruction |
| JCS | Joint Chiefs of Staff |
| JCTC | Joint Task Force Commander Training Course |
| JDOMS | Joint Director of Military Support |
| JFACC | Joint Force Air Component Commander |
| JFC | Joint Force Commander |
| JFHQ-NCR | Joint Forces Headquarters - National Capital Region |
| JFHQ-State | Joint Forces Headquarters- State |
| JFO | Joint Field Office |
| JIB | Joint Information Bureau |
| JIC | Joint Information Center |
| JIEE | Joint Information Exchange Environment |
| JIOC | Joint Information Operations Center |
| JISCC | Joint Incident Site Communication Capability |
| JIPOE | Joint Intelligence Preparation of the Operational Environment |
| JLLP | Joint Lessons Learned Program |
| JOA | Joint Operating Area |
| JOC | Joint Operating Center |
| JoCC | Joint Coordination Center |
| JOPES | Joint Operation and Planning Execution System |

Domestic JTF Commander Handbook

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|---------------------------|---|
| JOPP | Joint Operation Planning Process |
| JP | Joint Publication |
| JP1 | Jefferson Plaza One |
| JPG | Joint Planning Group |
| JRFL | Joint Restricted Frequency List |
| JRIES | Joint Intelligence Task Force for Combating Terrorism RISSNet Information Exchange System |
| JRSOI | Joint Reception, Staging, Onward Movement, and Integration |
| JSCP | Joint Strategic Capabilities Plan |
| JSME | Joint Spectrum Management Elements |
| JSOTF | Joint Special Operations Task Force |
| J-staff | Joint staff |
| JTCB | Joint Targeting Coordination Board |
| JTF | Joint Task Force |
| JWICS | Joint Worldwide Intelligence Communications System |
| KSA | Knowledge, Skills and Attributes |
| LC | Line of Contact |
| LD | Line of Departure |
| LEA | Law Enforcement Agency |
| LES | Law Enforcement Sensitive |
| LFA | Lead Federal Agency |
| LLIS | Lessons Learned Information Sharing |
| LMS | Lessons Management System |
| LNO | Liaison Officer |
| LOC | Lines of Communication |
| LTIOV | Latest Time of Information of Value |
| MACC | Multi-Agency Coordination Center |
| MACDIS | Military Assistance for Civilian Disturbances |
| MCCLL | Marine Corps Center for Lessons Learned |
| MDMP | Military Decision Making Process |
| METT-TC | Mission, Enemy, Terrain and Weather – Time, Troops Available and Civilian |
| MIPR | Military Interdepartmental Purchase Request |
| mIRC | Mardam-Bey Internet Relay Chat |
| MOA | Memorandum of Agreement |
| MOU | Memorandum of Understanding |
| N-NC Command Center | NORAD-USNORTHCOM Command Center |
| NAI | Named Area of Interest |
| NATO | North Atlantic Treaty Organization |
| NETOPS | Network Operations |

Domestic JTF Commander Handbook

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|--------------|---|
| NC/SJFHQ | United States Northern Command Standing Joint Force Headquarters |
| NCO | Noncommissioned Officer |
| NGB | National Guard Bureau |
| NGCE | National Guard Communications Element |
| NGJLLSC | National Guard Joint Lessons Learned Steering Committee |
| NGJLLWG | National Guard Joint Lessons Learned Working Group |
| NGO | Nongovernmental Organization |
| NGRF | National Guard Response Force |
| NICC | National Infrastructure Coordination Center |
| NIMS | National Incident Management System |
| NIST | National Institute of Standards and Technology |
| NOAA | National Oceanographic and Atmospheric Administration |
| NOC | National Operations Center |
| NOC-Planning | National Operations Center Interagency Planning Element |
| NOC-Watch | National Operations Center – Interagency Watch |
| NORAD | North American Aerospace Defense Command |
| NORTHCOM | United States Northern Command (HD & DSCA) |
| NRCC | National Response Coordination Center |
| NRF | National Response Framework |
| NRF-CIS | National Response Framework – Catastrophic Incident Supplement |
| NSSE | National Special Security Event |
| O&M | Operations and Maintenance |
| OA | Operational Area |
| OASD(PA) | Office of the Assistant Secretary of Defense (Public Affairs) |
| OCNUS | Outside Continental United States |
| OPCON | Operational Control |
| OPLAN | Operations Plan |
| OPORD | Operation/Operational Order |
| ORS | Operational Reporting System |
| OSD | Office of the Secretary of Defense |
| OTRS | Operations Tracking and Readiness System |
| PACOM | United States Pacific Command |
| PAG | Public Affairs Guidance |
| PAO | Public Affairs Office/Officer |
| PCA | Posse Comitatus Act |
| PCC | Policy Coordinating Committee |
| PFO | Principal Federal Official |
| PIR | Priority Information Requirements / Priority Intelligence Requirement |
| P.L. | Public Law |
| PLANORD | Planning Order |
| POC | Point of Contact |

Domestic JTF Commander Handbook

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|----------|---|
| Pub. | Publication |
| RA | Reimbursable Agreement |
| RC | Reserve Component |
| RELCAN | Releasable to Canada |
| REPLO | DOD Regional Emergency Preparedness Liaison Officer |
| RF | Reaction Force |
| RFA | Request for Assistance |
| RFF | Request for Forces |
| RFI | Request for Information |
| RISC | Regional Interagency Steering Committee |
| ROC | Regional Operations Center |
| ROE | Rules of Engagement |
| RRCC | Regional Response Coordination Center |
| RST | Religious Support Team |
| RUF | Rules for the Use of Force |
| SA | Staging Area |
| SAD | State Active Duty |
| SATCOM | Satellite Communications |
| SBA | Small Business Administration |
| SCAT | Staff Coordination and Assistance Team |
| SCO | State Coordinating Officer |
| SecDef | Secretary of Defense |
| SFAT | Spectrum Fly Away Team |
| SFLEO | Senior Federal Law Enforcement Official |
| SFO | Senior Federal Official |
| SITTEMP | Situational Template |
| SIOC | Strategic Information and Operations Center |
| SJA | State Judge Advocate |
| SJFHQ-N | Standing Joint Task Force Headquarters-NORTH |
| SOP | Standard Operating Procedures |
| SOUTHCOM | United States Southern Command |
| SROE | Standing Rules of Engagement |
| SSN | Social Security Number |
| TAA | Tactical Assembly Area |
| TACON | Tactical Control |
| TAG | Adjutant General |
| TNCC | Theater NetOps Control Center |
| TPFDD | Time Phased Force and Deployment Data |
| TRO | Training and Readiness Oversight |
| UCMJ | Uniform Code of Military Justice |
| UCP | Unified Command Plan |
| UHF | Ultrahigh Frequency |

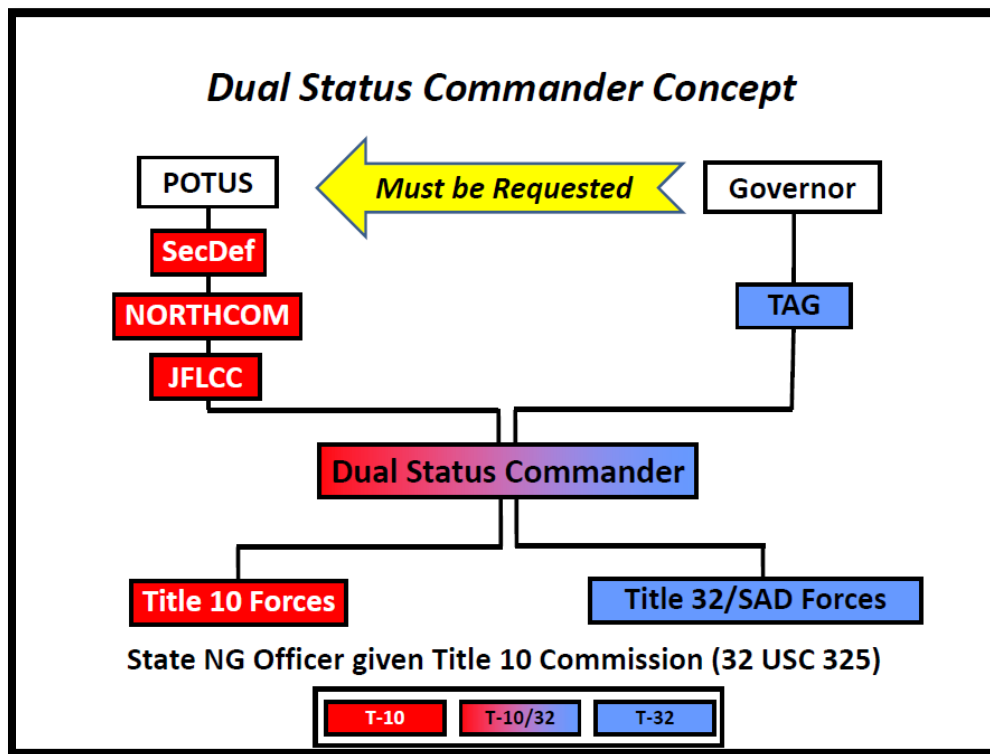
Domestic JTF Commander Handbook

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|------------|--|
| USACE | United States Army Corp of Engineers |
| USAF | United States Air Force |
| USAR | United States Army Reserve |
| U.S.C. | United States Code |
| USCG | United States Coast Guard |
| USG | United States Government |
| USJFCOM | United States Joint Forces Command |
| USNORTHCOM | United States Northern Command (HD & DSCA) |
| USPACOM | United States Pacific Command |
| USR | Unit Status Report |
| USSOUTHCOM | United States Southern Command |
| USSTRATCOM | United States Strategic Command |
| VTC | Video Teleconference |
| WARNORD | Warning Order |
| WMD-CST | Weapons of Mass Destruction Civil Support Team |

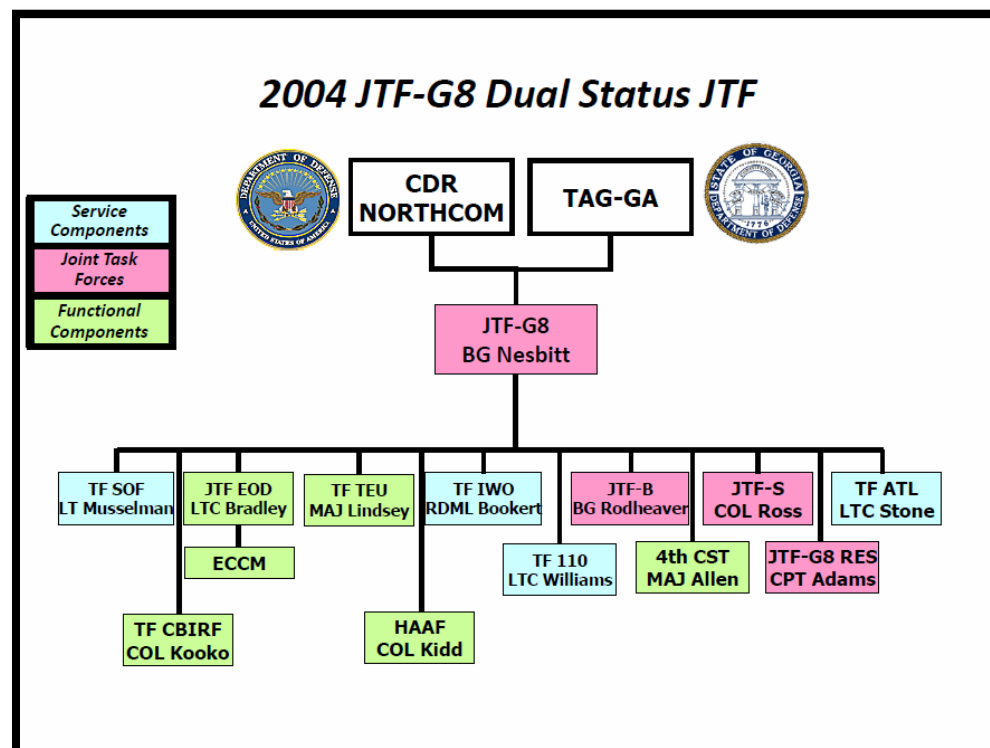
Domestic JTF Commander Handbook

19.2 Dual Status Commander JTF Construct

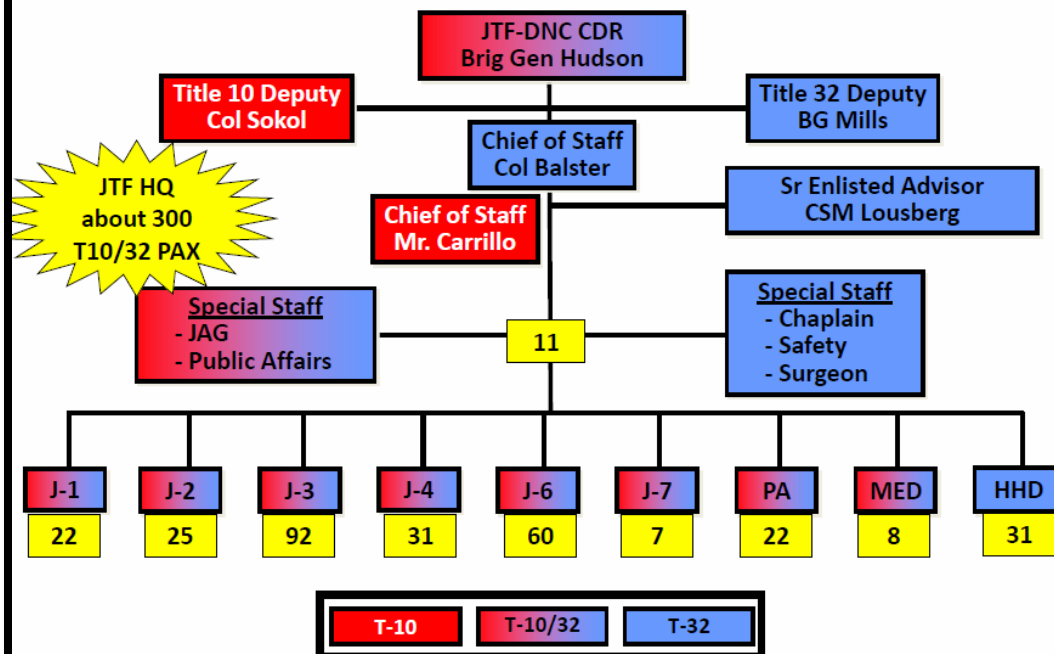
19.2.1 Dual Status Commander Concept



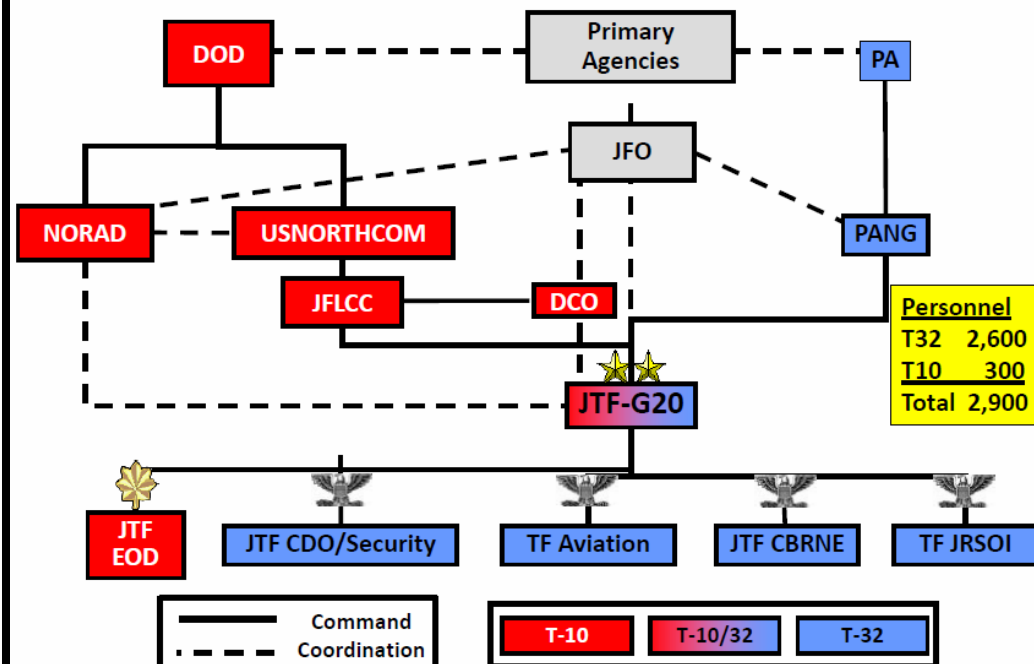
19.2.2 Dual Status Commander Examples



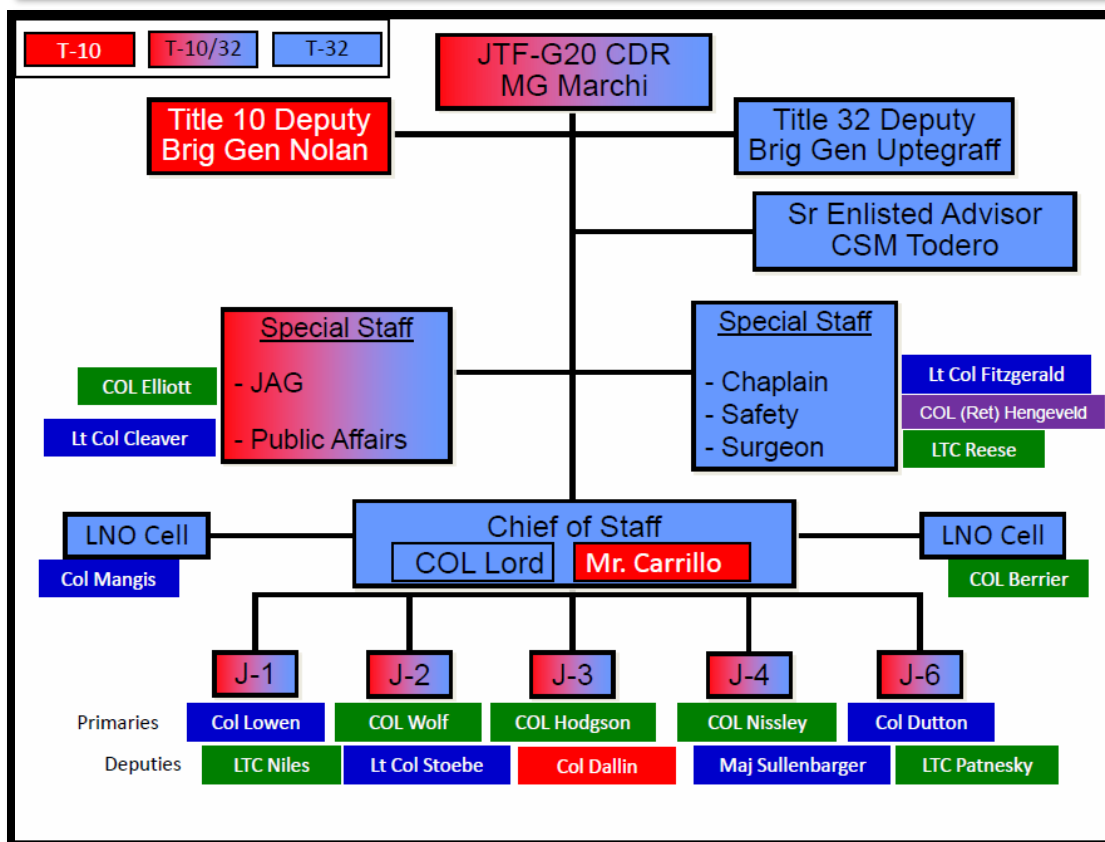
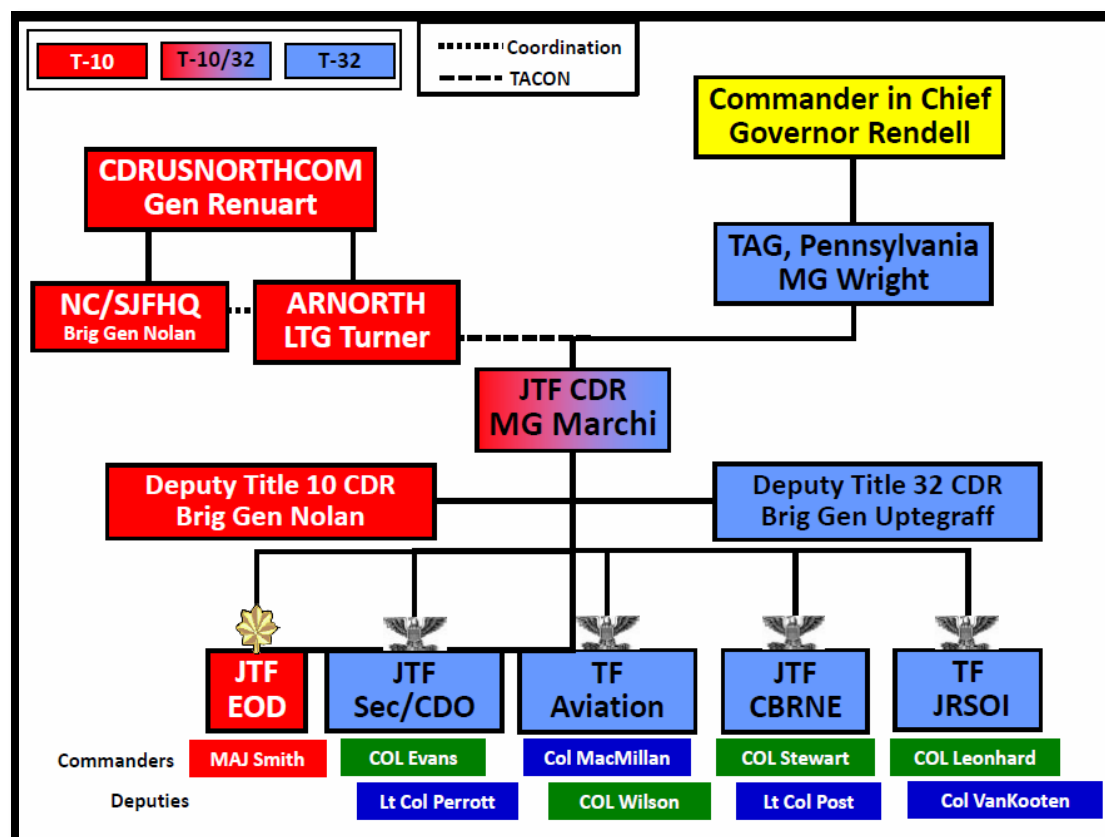
2008 JTF-DNC Staff Organization



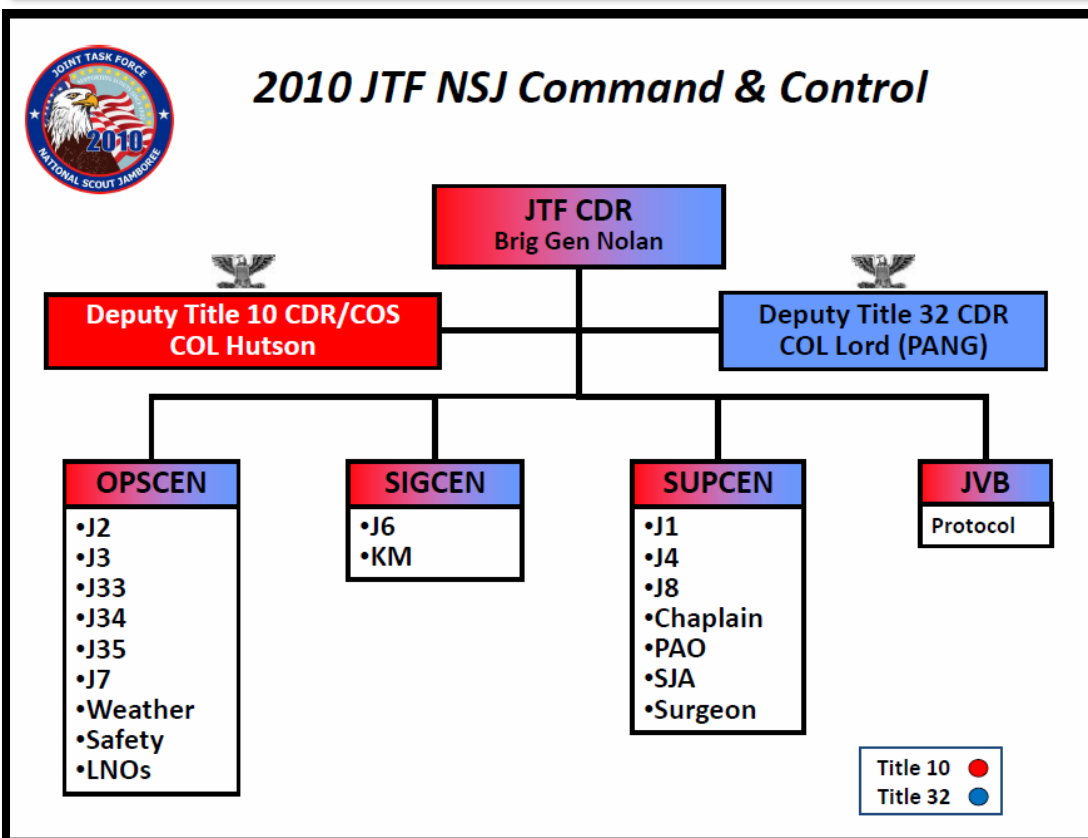
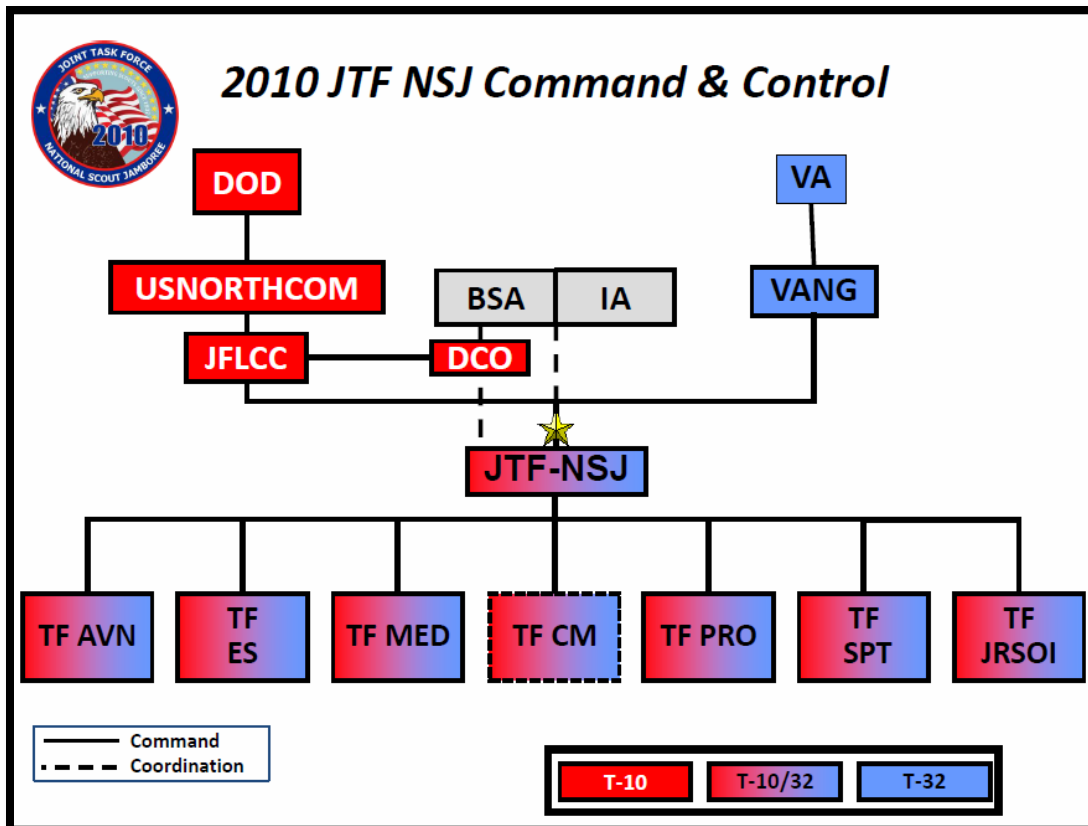
2009 JTF-G20 C2



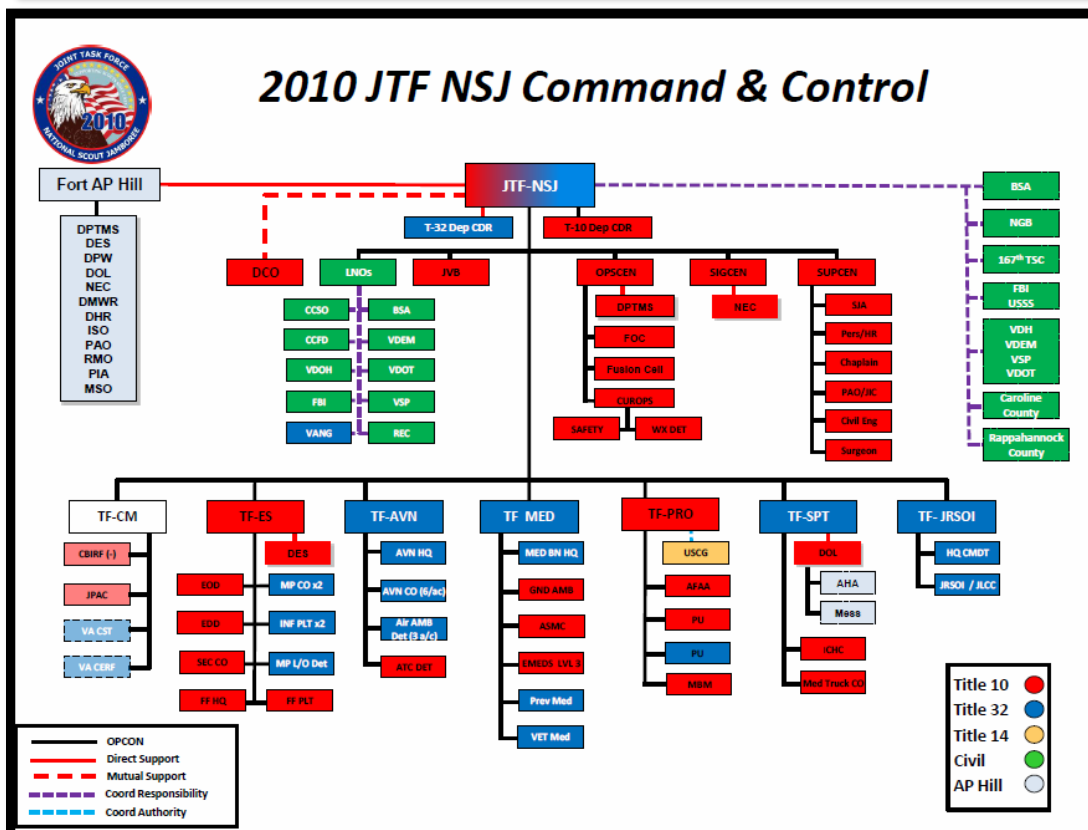
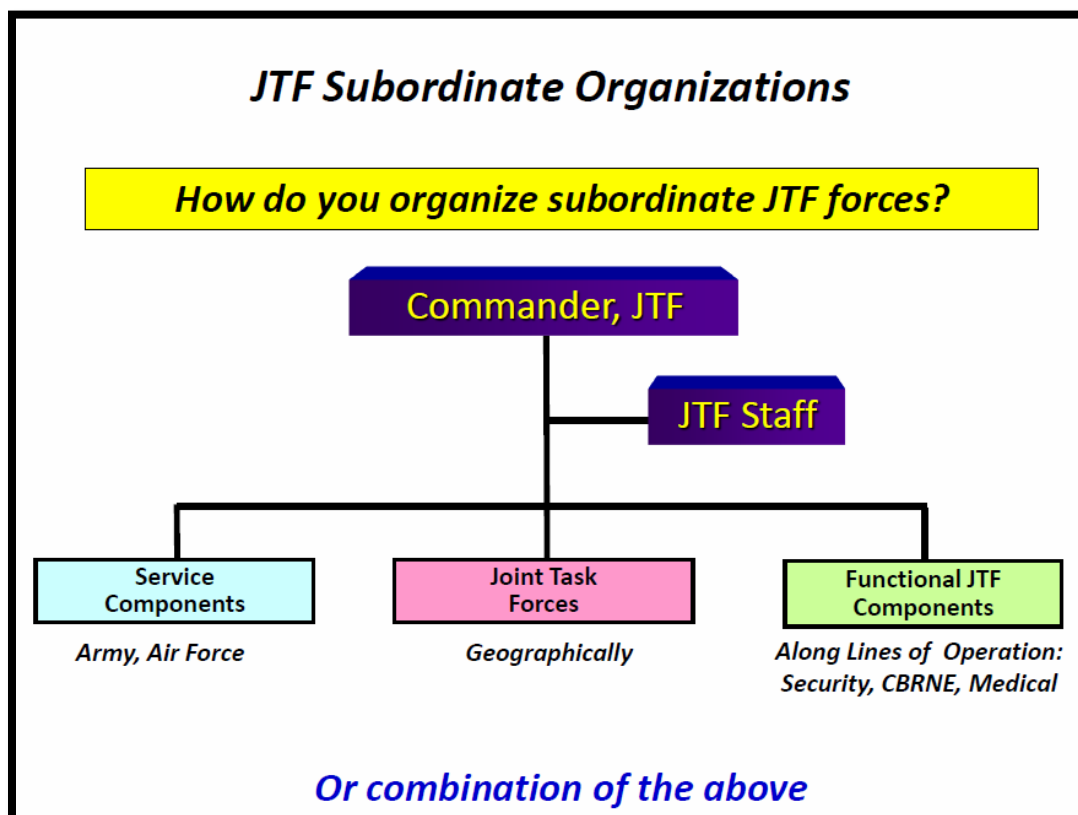
Domestic JTF Commander Handbook



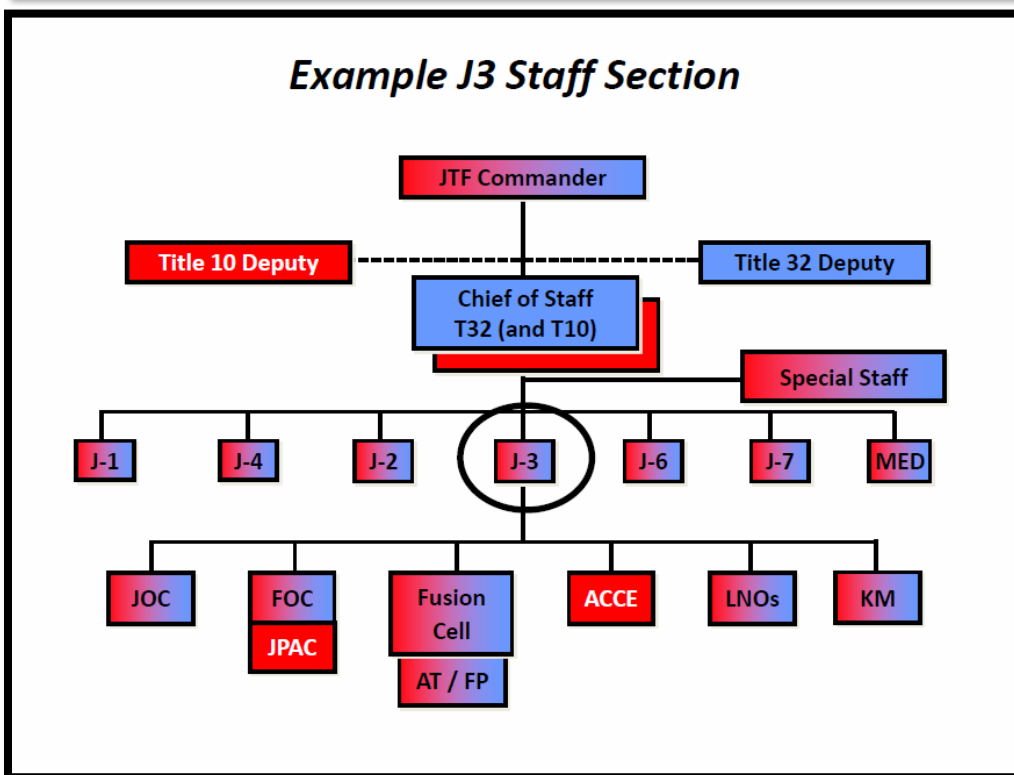
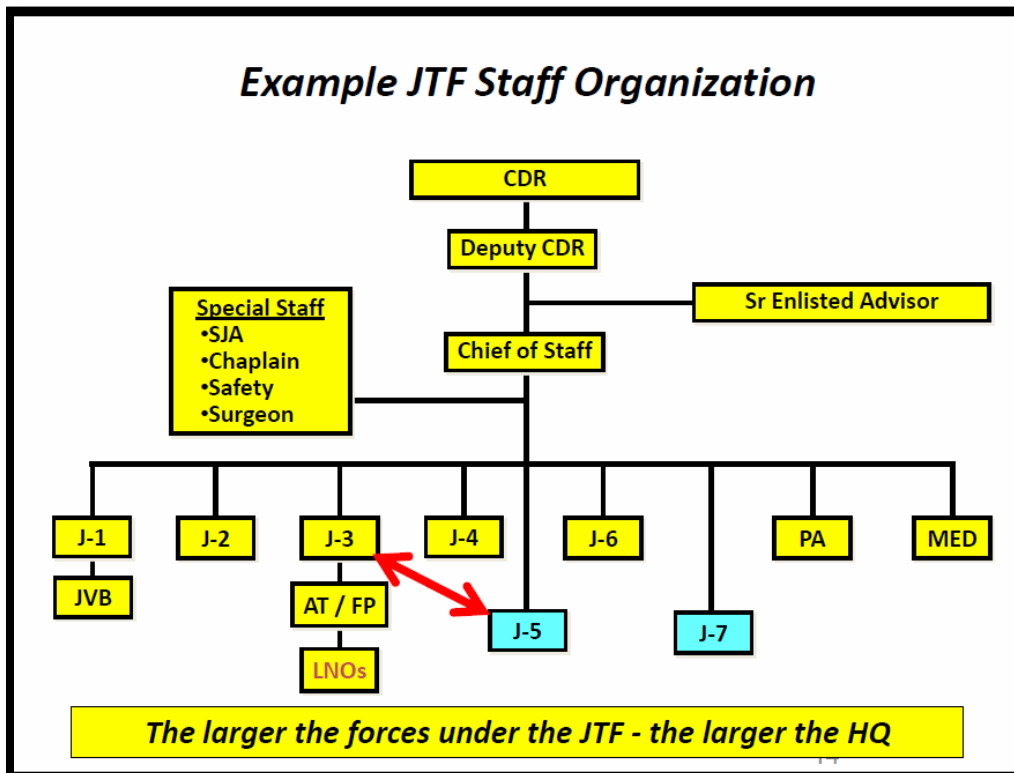
Domestic JTF Commander Handbook



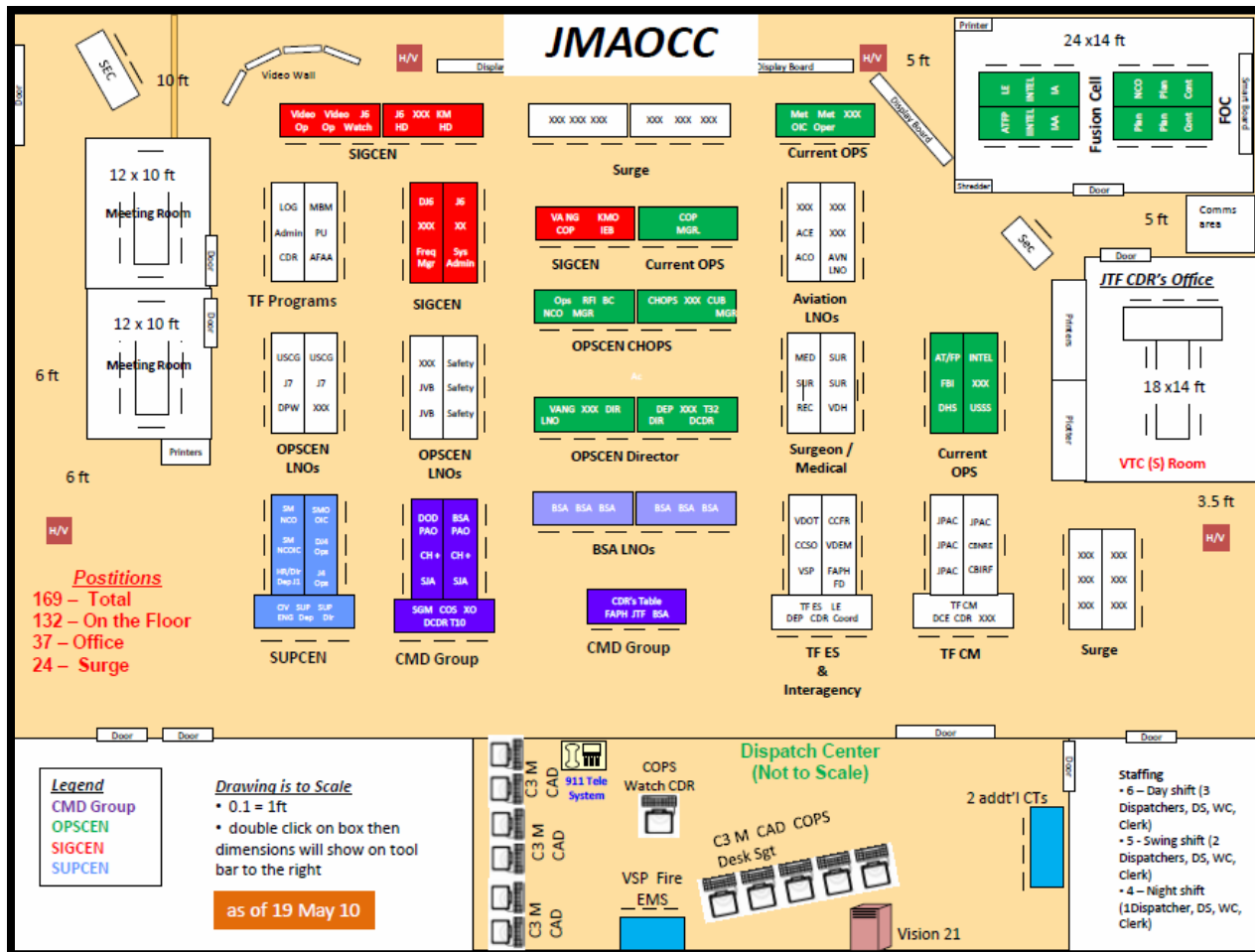
19.2.3 JTF Subordinate Organizations



19.2.4 JTF Staff Organization



Domestic JTF Commander Handbook



Domestic JTF Commander Handbook

19.3 MOA Example: Understanding Between President and State

19.3.1 POTCUS Delegation to SecDef IAW 32 USC § 325

THE WHITE HOUSE
Office of the Press Secretary

For Immediate Release April 14, 2011

April 14, 2011

MEMORANDUM FOR THE SECRETARY OF DEFENSE

SUBJECT: Delegation of Functions and Authority under
 Sections 315 and 325 of Title 32, United States
 Code

By the authority vested in me as President by the Constitution and the laws of the United States of America, including section 301 of title 3, United States Code, I hereby delegate to you: (a) the functions and authority of the President contained in section 315 of title 32, United States Code, to permit a commissioned officer of the Regular Army or Regular Air Force to accept a commission in the Army National Guard or the Air National Guard, as the case may be, terminable at your discretion, without prejudicing his or her rank and without vacating his or her regular appointment; and (b) the functions and authority of the President contained in section 325 of title 32, United States Code, to authorize the service of an officer of the Army National Guard or the Air National Guard on active duty without relieving that officer from duty in the National Guard of his or her State, or of the Commonwealth of Puerto Rico, Guam, or the United States Virgin Islands, or the District of Columbia and to give such authorization in advance for the purpose of establishing the succession of command of a unit.

This delegation of functions and authority supersedes and replaces the July 23, 2004, delegation to the Secretary of Defense of the functions and authority of the President contained in section 325 of title 32, United States Code.

You are further authorized and directed to make necessary arrangements to fund the exercise of these functions and authority from the proper appropriation, prescribe regulations to implement these functions and authority, and to publish this memorandum in the Federal Register.

BARACK OBAMA

THE WHITE HOUSE

WASHINGTON

July 23, 2004

MEMORANDUM FOR THE SECRETARY OF DEFENSE

SUBJECT: National Guard Support for 2004 Democratic
and Republican National Conventions and
Other Appropriate Events

By the authority vested in me as President by the Constitution and the laws of the United States, including section 301 of title 3, United States Code, I hereby delegate to you the functions and authority of the President contained in section 325 of title 32, United States Code, with respect to activities related to the 2004 Democratic and Republican National Conventions, and other appropriate events as you determine from time to time in consultation with the Assistant to the President for Homeland Security.

You are further authorized and directed to make necessary arrangements to fund this activity from the proper appropriations and to publish this memorandum in the Federal Register.



Domestic JTF Commander Handbook

19.3.2 Authorization and Consent to Dual Status Commander IAW 32 USC § 325

Authorization and Consent pursuant to 32 USC 325

G8 Summit – Sea Island, Georgia
June 2004

This document, when executed by the President of the United States, and the Governor of Georgia, serves as presidential authority and gubernatorial consent, as required in 32 USC 325(a)(2) and 10 USC 12301(d), to voluntarily activate a commander of a Georgia National Guard unit and allow said commander to retain his membership and status in the Georgia National Guard throughout his or her activation for the G8 Summit. Said dual status commander will be allowed to command subordinate active duty personnel as well as Georgia National Guard members in a state status supporting the G8 Summit.

The dual status commander will receive orders from a federal chain of command and a state chain of command. These two distinct, separate chains of command flow through different sovereigns that recognize and respect the dual status commander's duty to exercise these two separate authorities in a mutually exclusive manner.

This command option provides unity of command and effort and facilitates the maintenance of a common operating picture for both USNORTHCOM and the Georgia National Guard. The activation of said commander is not expected to exceed a period 30 days before and 30 days after the 2004 G8 Summit. Federal military support will be provided at the request of a lead federal agency.

By delegation of June 3, 2004
Frank Wolfowitz *6/4/04*
George W. Bush *ACTING SECRETARY OF DEFENSE* Date
President of the United States

Sonny Perdue *April 16, 2004*
Honorable Sonny Perdue Date
Governor, State of Georgia

19.3.3 2009 G20 Summit - Pittsburgh, PA (32 USC § 325 Dual Status)

**MEMORANDUM OF AGREEMENT CONCERNING AUTHORIZATION,
CONSENT, AND USE OF DUAL-STATUS COMMANDER
PURSUANT TO 32 U.S.C. § 325
FOR THE
PITTSBURGH SUMMIT 2009**

1. Purpose. This Memorandum of Agreement (MOA) outlines the separate chains of command and responsibilities of the dual-status commander for the Pittsburgh Summit of G-20 Leaders (hereinafter "the Summit"), which will be held September 24- 25, 2009, in Pittsburgh, Pennsylvania, for the purpose of convening world leaders who represent 85 percent of the world's economy. The President of the United States, or his designee, and the Governor of the Commonwealth of Pennsylvania, by executing this MOA have provided authorization and consent for the activation of this commander pursuant to 32 U.S.C. § 325(a)(2). The commander's activation is not expected to exceed 15 days, beginning on or about September 15, 2009, and ending on or about September 30, 2009.

2. Mutually Exclusive Chains of Command. The dual-status commander will receive orders from a Federal chain of command and a State chain of command. As such, the dual-status commander is an intermediate link in two distinct, separate chains of command flowing from different sovereigns. Although the dual-status commander may receive orders from two chains of command, those chains of command must recognize and respect the dual-status commander's duty to exercise all authority in a completely mutually exclusive manner, i.e., either in a Federal or State capacity, but never in both capacities at the same time. This MOA contains special procedures to maintain the required separation of State and Federal chains of command.

A. State Command and Control

1. The Pennsylvania Governor, through his Adjutant General, will provide command and control over the supporting National Guard forces. As a member of the Pennsylvania National Guard in a State status, the dual-status commander is subject to the orders of the Governor through the Adjutant General of the Commonwealth of Pennsylvania.
2. The dual-status commander, acting pursuant to State authority, may issue orders to National Guard forces serving in a State status (i.e., Title 32 or State Active Duty).
3. Command and control of National Guard forces provided to Pennsylvania from other states, if applicable, will be

Domestic JTF Commander Handbook

determined by prior coordination between those states and Pennsylvania. Authority for those forces to provide support in Title 32 status must be granted in advance by the Secretary of Defense.

4. All military justice issues concerning Pennsylvania National Guard forces will be determined in accordance with the Pennsylvania Code of Military Justice. Military Justice issues concerning National Guard forces from states other than Pennsylvania will be determined in accordance with those states' codes of military justice.

B. Federal Chain of Command.

1. The Commander, U.S. Northern Command (USNORTHCOM), will provide command and control over the supporting Federal forces. The dual-status commander, as a Federal officer ordered to active duty under Title 10 (of the U.S. Code), is subject to the orders of the President, the Secretary of Defense, and the Commander, USNORTHCOM, or those Federal officers ordered to act on their behalf.
2. The dual-status commander, acting pursuant to Federal authority, may issue orders to Federal forces, *i.e.*, active duty forces, including reserve forces serving on active duty such as Federalized National Guard forces (Title 10 status). In accordance with the Posse Comitatus Act, direct civilian law enforcement activities are not to be performed by Federal forces supporting the Summit.
3. All military justice issues for supporting Federal forces will be determined in accordance with the Uniform Code of Military Justice as implemented by applicable Military Department regulatory guidance.

3. Missions.

A. *State Military Mission:* Plan, coordinate, and provide requested, authorized, and approved support to lead Federal agencies, and State agencies performing activities related to the Summit.

Domestic JTF Commander Handbook

B. *Federal Military Mission:* Plan, coordinate, and provide requested, authorized, and approved support to lead Federal agencies performing activities related to the Summit.

4. Purpose of Dual-status Command Structure. Utilizing a dual-status commander allows the efficient use of both Federal and State authorities to execute authorized missions in support of Federal and State agencies for the Summit. This relationship will capitalize on the military expertise of both sovereign military forces, reduce duplicative effort, provide synergy, and ensure unity of effort. The dual-status commander will have enhanced situational awareness through this dual status, and both Federal and State chains of command will have a common operating picture. This enhanced situational awareness will ensure optimal tasking and mission accomplishment by State and Federal military forces.

5. Compliance with Federal and State law. The dual-status commander must comply with all State and Federal laws appropriate to the mission while executing his duties. If the dual-status commander perceives that orders provided by the Federal or State chain of command may violate Federal or State law or create a potential conflict of interest or mission conflict, the dual-status commander must immediately inform both chains of command of the perceived problem.

6. Sharing of Documentation. To avoid miscommunication, the Federal and State chains of command should share all documents/guidance concerning their respective missions at the earliest possible opportunity.

7. Anti-terrorism/Force Protection Standards. During the Summit, the Pennsylvania National Guard agrees that National Guard Forces participating in activities related to the Summit will comply with anti-terrorism/force protection(AT/FP) guidance established by USNORTHCOM unless the Pennsylvania National Guard has established more stringent guidance. USNORTHCOM will provide AT/FP guidance in all warning, planning, alert, deployment, or execute orders. Any obstacles in achieving compliance with the paragraph will be resolved by the Adjutant General of Pennsylvania and the Commander, USNORTHCOM.

8. Mission Conflicts.

A. The dual-status commander should attempt to ensure there are no conflicts between Federal and State mission taskings. If the dual-status commander believes a conflict exists, he should notify both chains of command at the earliest possible opportunity. Both chains of command and

Domestic JTF Commander Handbook

the dual-status commander must be involved in the resolution of such conflicts.

B. In the event that a mission tasking conflict cannot be resolved, the dual-status commander should consult with a judge advocate from both the Federal chain of command and the State chain of command. While the conflict is being resolved, the dual-status commander will continue to execute his Federal missions, and will continue to execute those State missions in areas not subject to the conflict.

9. Status. During the course of this mission, the dual-status commander shall describe the status of all forces in writing. The purpose of this requirement is to avoid assigning Federal responsibilities to State forces and to avoid assigning State responsibilities to Federal forces. If it becomes necessary to make a change to the status of forces, the dual-status commander will ensure both chains of command are aware of the necessity for such changes, but the dual-status commander does not have the authority to make those changes.

10. Delegation from Sovereigns. It is agreed and understood that the Federal and State sovereigns may delegate their command authority to intermediate officials or officers who will provide orders to the dual-status commander. This delegation will typically occur via written orders but may take another form in exigent circumstances.

11. Incapacity of the Dual-status Commander. In the event that the dual-status commander becomes incapacitated, subordinates will need to be in place to assume command of both the Federal and State chains of command. For this reason, the dual-status commander needs a Federal status deputy commander and a State status deputy commander.

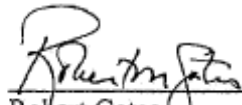
12. Effective Date. This MOA shall become effective after the signing of the document by the parties and upon the order to active duty of the dual-status commander. Upon the effective date of the MOA, the dual-status commander may maintain ongoing direct liaison authority with his Federal and State chains of command and exercise State authority and Federal authority as provided by those sovereigns.

13. Modifications to MOA. This MOA may be amended, revised, or extended by the written mutual agreement of the parties.

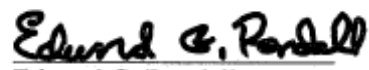
14. Termination. This MOA will automatically terminate upon the redeployment of forces from the performance of activities related to the Summit. If either party decides to withdraw from this MOA, it should do so in writing with sufficient

Domestic JTF Commander Handbook

notice to allow proper mission accomplishment, if possible, by the other party.
Termination of this MOA will result in the release of the dual-status commander from duty in a Title 10 status.


Robert Gates
Secretary of Defense

9-10-09
Date


Edward G. Rendell
Governor, Commonwealth of Pennsylvania

9-11-09
Date

19.3.4 2010 National Scout Jamboree (32 USC § 315 Dual Status)

**MEMORANDUM OF AGREEMENT CONCERNING AUTHORIZATION,
CONSENT, AND USE OF DUAL-STATUS COMMANDER
PURSUANT TO 32 U.S.C. § 315 FOR THE NATIONAL SCOUT
JAMBOREE SUPPORT MISSION AT FORT A.P. HILL, VA**

1. Purpose. This Memorandum of Agreement (MOA) outlines the separate chains of command and responsibilities of the dual-status commander for the 2010 National Scout Jamboree, which will be held July 26 to August 4, 2010, at Fort A.P. Hill, Virginia. The President of the United States, or his designee, and the Governor of Virginia, by executing this MOA have provided authorization and consent for the activation of this commander pursuant to 32 U.S.C. § 315. The activation of said commander is not expected to exceed the 30-day periods before and after the Jamboree.

2. Mutually Exclusive Chains of Command. The dual-status commander will receive orders from a Federal chain of command and a State chain of command. As such, the dual-status commander is an intermediate link in two distinct, separate chains of command flowing from different sovereigns. Although the dual-status commander may receive orders from both chains of command, those chains of command must recognize and respect the dual-status commander's duty to exercise all authority in a completely mutually exclusive manner (*i.e.*, either in a Federal or State capacity, but never in both capacities at the same time). This MOA contains special procedures to maintain the required separation of State and Federal chains of command.

A. State Command and Control

1. The Virginia Governor, through his Adjutant General, will provide command and control over the supporting National Guard forces. As a member of the Virginia National Guard in a State status, the dual-status commander is subject to the orders of the Governor through the Adjutant General of the Commonwealth of Virginia.
2. The dual-status commander, acting pursuant to State authority, may issue orders to National Guard forces serving in a State status (*i.e.*, title 32 or State Active Duty).
3. Command and control of National Guard forces provided to Virginia from other states will be determined by prior coordination between those States and Virginia. Authority

Domestic JTF Commander Handbook

for those forces to provide support in title 32 status must be granted in advance by the Secretary of Defense.

4. All military justice issues concerning Virginia National Guard forces will be determined in accordance with the Virginia Code of Military Justice. Military Justice issues concerning National Guard forces from States other than Virginia will be determined in accordance with those States' codes of military justice.

B. Federal Chain of Command.

1. The Commander, U.S. Northern Command (USNORTHCOM), will provide command and control over the supporting Federal forces. The dual-status commander, as a regular officer, is subject to the orders of the President, the Secretary of Defense, and the Commander, USNORTHCOM, or those Federal officers ordered to act on their behalf.
2. The dual-status commander, acting pursuant to Federal authority, may issue orders to Federal forces (*i.e.*, active duty forces, including reserve forces serving on active duty, such as Federalized National Guard forces (title 10 status)). In accordance with the Posse Comitatus Act, direct civilian law enforcement activities are not to be performed by Federal forces supporting the 2010 National Scout Jamboree.
3. All military justice issues for supporting Federal forces will be determined in accordance with the Uniform Code of Military Justice as implemented by the applicable Military Department.

3. Missions.

A. *State Military Mission:* Plan, coordinate, and provide requested, authorized, and approved activities related to the 2010 National Scout Jamboree.

B. *Federal Military Mission:* Plan, coordinate, and provide requested, authorized, and approved activities related to the 2010 National Scout Jamboree.

Domestic JTF Commander Handbook

4. Purpose of Dual-status Commander Structure. Utilizing a dual-status commander allows the efficient use of both Federal and State authorities to execute authorized missions during the 2010 National Scout Jamboree. This relationship will capitalize on the military expertise of both sovereign military forces, reduce duplicative effort, provide synergy, and ensure unity of effort. The dual-status commander will have enhanced situational awareness through this dual status, and both Federal and State chains of command will have a common operating picture. This enhanced situational awareness will ensure optimal tasking and mission accomplishment by State and Federal military forces.

5. Compliance with Federal and State law. The dual-status commander must comply with all State and Federal laws appropriate to the mission while executing his duties. If the dual-status commander perceives that orders provided by the Federal or State chain of command may violate Federal or State law or create a potential conflict of interest or mission conflict, the dual-status commander must immediately inform both chains of command of the perceived problem.

6. Sharing of Documentation. To avoid miscommunication, the Federal and State chains of command should share all documents/guidance concerning their respective missions at the earliest possible opportunity.

7. Anti-terrorism/Force Protection (AT/FP) Standards. During the 2010 National Scout Jamboree, the Virginia National Guard agrees that National Guard Forces participating in activities related to the Convention will comply with AT/FP guidance established by USNORTHCOM unless the Virginia National Guard has established more stringent guidance. USNORTHCOM will provide AT/FP guidance in all warning, planning, alert, deployment, or execute orders. Any obstacles in achieving compliance with the paragraph will be resolved by the Adjutant General of Virginia and the Commander, USNORTHCOM.

8. Mission Conflicts.

A. The dual-status commander should attempt to ensure there are no conflicts between Federal and State mission taskings. If the dual-status commander believes a conflict exists, he should notify both chains of command at the earliest possible opportunity. Both chains of command and the dual-status commander must be involved in the resolution of such conflicts.

B. In the event that a mission tasking conflict cannot be resolved, the dual-status commander should consult with a judge advocate (or other appropriate legal advisor) from both the Federal chain of command and the State chain of command. While the conflict is being resolved, the dual-

Domestic JTF Commander Handbook

status commander will continue to execute his Federal missions, and will continue to execute those State missions in areas not subject to the conflict.

9. Status. During the course of this mission, the dual-status commander shall describe the status of all forces in writing. The purpose of this requirement is to minimize possible confusion in appropriate Federal/State force taskings by the dual-status commander. If it becomes necessary to make a change to the status of forces, the dual-status commander will ensure both chains of command are aware of the necessity for such changes, but the dual-status commander does not have the authority to make those changes.

10. Delegation from Sovereigns. It is agreed and understood that the Federal and State sovereigns may delegate their command authority to intermediate officials or officers who will provide orders to the dual-status commander. This delegation will typically occur via written orders but may take another form in exigent circumstances.

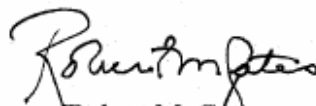
11. Incapacity of the Dual-status Commander. In the event that the dual-status commander becomes incapacitated, subordinates will need to be in place to assume command of both the Federal and State chains of command. For this reason, the dual-status commander needs both a Federal status deputy commander and a State status deputy commander.

12. Effective Date. This MOA is effective when signed by both parties. Upon the effective date of the MOA, the dual-status commander may maintain ongoing direct liaison authority with his Federal and State chains of command and exercise State authority and Federal authority as provided by those sovereigns.

13. Modifications to MOA. This MOA may be amended, revised, or extended by the written mutual agreement of the parties.

14. Termination. This MOA will automatically terminate upon the redeployment of forces from the performance of activities related to the 2010 National Scout Jamboree. If either party decides to withdraw from this MOA, it should do so in writing with sufficient notice to allow proper mission accomplishment, if possible, by the other party. Termination of this MOA will result in the release of the dual-status commander from duty in a title 32 status.


Robert F. McDonnell
Governor, Commonwealth of Virginia


Robert M. Gates
Secretary of Defense
JUL 21 2010

19.3.5 2004 G8 Summit (32 USC § 325 Dual Status)

**MEMORANDUM OF AGREEMENT CONCERNING USE OF DUAL
STATUS COMMANDER FOR G8 SUPPORT MISSION**

1. **Purpose.** This Memorandum of Agreement (MOA) outlines the separate chains of command and responsibilities of the dual status commander for the G8 Summit Support Missions. POTUS and the Georgia Governor will provide authorization and consent for the activation of this commander pursuant to 32 USC 325. The activation of said commander is not expected to exceed a 30-day period before and after the 2004 G8 Summit

2. **Mutually Exclusive Chains of Command.** The dual status commander will receive orders from a federal chain of command and a state chain of command. As such, the dual status commander is an intermediate link in two distinct, separate chains of command flowing through different sovereigns. While the dual status commander may receive orders from two chains of command, those chains of command must recognize and respect the dual status commander's duty to exercise all authority in a completely mutually exclusive manner, i.e. either in a federal or state capacity, but never in both capacities at the same time. This MOA contains special procedures to maintain the required separation of state and federal chains of command.

A. State Command and Control

1. The Georgia Governor, through his Adjutant General, will provide command and control over the supporting National Guard forces. As a member of the Georgia National Guard in a state status, the dual status commander takes orders from the Governor through the Adjutant General of the State of Georgia.
2. The dual status commander, acting pursuant to state authority, may issue orders to National Guard forces serving in a state status (Title 32 or State Active Duty).
3. Command and control of National Guard forces provided to the State of Georgia from other states will be determined by prior coordination between those states and Georgia.
4. All military justice issues will be determined in accordance with the Georgia state code of military justice. Military justice issues concerning National Guard forces from other states will be determined in accordance with their states' codes of military justice.

B. Federal Chain of Command.

1. CDRUSNORTHCOM will provide command and control over the supporting federal forces. The dual status commander, as a federal officer activated under Title 10 (of the U.S. Code), takes orders from the President or those federal officers the President and Secretary of Defense have ordered to act on their behalf.
2. The dual status commander, acting pursuant to federal authority, may issue orders to federal forces, i.e. active duty forces and activated reserve forces (including federalized National Guard forces). Law enforcement activities are not to be performed by federal forces in support of the G8 in violation of the Posse Comitatus Act.
3. All military justice issues will be determined in accordance with the Uniform Code of Military Justice as implemented by applicable service regulatory guidance concerning the attached federal forces.

3. Missions.

A. *State Military Mission:* Plan, coordinate, and provide requested, authorized, and approved support to lead federal agencies, and state agencies, in support of the G8 Summit to be held at Sea Island Georgia in June 2004. The G8 has been classified as a National Special Security Event (NSSE).

B. *Federal Military Mission:* Plan, coordinate, and provide requested, authorized, and approved support to lead federal agencies in support of the G8 Summit to be held at Sea Island Georgia in June 2004. The G8 has been classified as a National Special Security Event (NSSE).

4. Purpose of Dual Status Command Structure. Utilizing a dual status commander allows the efficient use of both federal and state authorities to execute authorized missions in support of federal agencies for the G8 Summit. This relationship will capitalize on the military expertise of both sovereign military forces, reduce duplicative effort, provide synergy, and ensure unity of effort and unity of command. The dual status commander will have enhanced situational awareness through this dual status, and both federal and state chains of command will have a common operating picture. This enhanced situational awareness will ensure optimal tasking and mission accomplishment by state and federal military forces.

5. Compliance with federal and state law. The dual status commander must comply with all state and federal laws while executing his/her duties. If the dual status commander perceives that orders provided by the federal or state chain of command may violate federal or state law or create a potential conflict of interest or mission conflict, the dual status commander must immediately inform both chains of command of the perceived problem.

6. Sharing of Documentation. To avoid miscommunication, the federal and state chains of command should share all documents/guidance concerning their respective missions at the earliest possible opportunity.

7. Mission Conflicts.

A. The dual status commander should attempt to ensure there are no conflicts between federal and state mission taskings. If the dual status commander believes a conflict exists, it should be shared with both chains of command at the earliest possible opportunity. Both chains of command and the dual status commander must be involved in the resolution of such conflicts.

B. In the event that a mission tasking conflict cannot be resolved, the dual status commander should consult with a judge advocate from both the federal chain of command and the state chain of command.

8. Status. During the course of this mission the status of all troops shall be described in writing by the dual status commander. The purpose of this requirement is to minimize possible confusion in appropriate federal/state troop taskings by the dual status commander. If it becomes necessary to change the statuses of any troops, the dual status commander will ensure that both chains of command are informed.

9. Delegation from Sovereigns. It is agreed and understood that the federal and state sovereigns may delegate their command authority to intermediate officials or officers who will provide orders to the dual status commander. This delegation will typically occur via written orders but may take another form in exigent circumstances.

10. Incapacity of the Dual Status Commander. In the event that the dual status commander becomes incapacitated, commanders will need to be in place to assume command of both the federal and state chains of command. For this reason, the dual status commander needs a federal status deputy commander and a state status deputy commander.

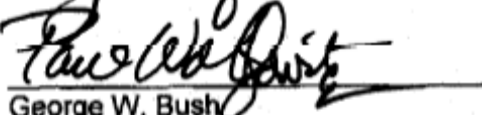
11. Modifications to MOA. This MOA shall become effective upon the signing of this document by the parties. Such signing shall immediately authorize the dual status commander to maintain ongoing direct liaison authority with his/her federal

Domestic JTF Commander Handbook


and state chains of command and to exercise state authority and federal authority as provided by those sovereigns. This MOA may be amended, revised, or extended by the written mutual agreement of the parties.

12. Termination. This MOA will automatically terminate upon the redeployment of forces from the G8 Summit support mission. If either party wants to withdraw from this agreement, it should do so in writing with sufficient notice to allow proper mission accomplishment, if possible, by the other party.

By delegation of June 3, 2004


George W. Bush
President of the United States

6/4/03
Date


Honorable Sonny Perdue
Governor, State of Georgia

April 16, 2004
Date

Domestic JTF Commander Handbook

19.4 MOA Example: Understanding Between State

19.4.1 Virginia and Alabama (2010 National Scout Jamboree)

MEMORANDUM OF AGREEMENT BETWEEN

THE COMMONWEALTH OF VIRGINIA

AND

THE STATE OF ALABAMA

FOR SUPPORT TO

JOINT TASK FORCE-NATIONAL SCOUT JAMBOREE 2010 (JTF-NSJ)

1. Purpose. The Federal Government is providing support to the National Boy Scout Jamboree 2010 (NSJ) at Fort A.P. Hill, Virginia. This support will involve National Guard forces from several states, including Alabama (hereinafter "Supporting State"). Fort A.P. Hill is located in Virginia, and the Commander (CDR), JTF-NSJ holds dual Title 10 and Title 32 status with a temporary commission in the Virginia National Guard. The Commonwealth of Virginia, represented by CDR, JTF-NSJ in his Title 32 capacity, and the Supporting State, represented by its Adjutant General, hereinafter "the Parties," agree to mutually support each other to accomplish this mission. This MOA between the Commonwealth of Virginia and the Supporting State delineates command and control authorities and clarifies the operations of National Guard forces providing this support at and around Fort A.P. Hill, VA during the period approximately 1 July 2010 to 10 August 2010. This MOA does not override State or Commonwealth law.

2. References.

- a. The Federal Tort Claims Act, 28 U.S.C. secs. 1346, 2671-2679.
- b. JTF-NSJ Rules for Use of Force. (Attachment 1)
- c. Alabama Code 31-2-82 AL Guard travel out of state with Governor's approval.

3. The Supporting State, represented by its Adjutant General, and the Commonwealth of Virginia, represented by CDR, JTF-NSJ in his Title 32 capacity, agree that

- a. The CDR, JTF-NSJ agrees to accept forces from the supporting state to perform duties in support of the NSJ. The Chief, National Guard Bureau, shall advise the Secretary of Defense regarding the provision of National Guard resources to the parties and will coordinate those resources in furtherance of the

Domestic JTF Commander Handbook

MEMORANDUM OF AGREEMENT BETWEEN THE COMMONWEALTH OF VIRGINIA AND
SUPPORTING STATES, COMMONWEALTHS AND TERRITORIES FOR SUPPORT TO JTF-NSJ
(NATIONAL BOY SCOUT JAMBOREE 2010)

mission. The Governor of the Supporting State shall retain authority to decline missions that will compromise his or her ability to respond to emergency requirements.

b. The Adjutant General of the Supporting State will remain in command and control of the personnel and units of the Supporting State National Guard forces assigned to JTF-NSJ. However, personnel and units ordered to support the NSJ will be placed under the TACON of CDR, JTF-NSJ. "TACON" is defined as "The authority to designate objectives, assign tasks, and provide the direction necessary to accomplish the mission or operation and ensure unity of effort. It does not convey criminal justice authority or Administrative Control. It is implemented by a commander issuing orders to his subordinates to follow the directives of CDR, JTF-NSJ for the purpose of accomplishing their associated mission." Administrative Control and criminal justice authority will stay with the Supporting State.

c. All missions in support of JTF-NSJ will be funded by the United States.

d. Supporting State National Guard forces will perform duties IAW 32 U.S.C. 502 (f) in accordance with all applicable law, DoD, and Military Department regulations, policies, and authorities. All National Guard members participating in this status are performing missions in support of the federal government or to the benefit of the federal government and are federal employees within the meaning of the Federal Tort Claims Act, 28 U.S.C. sections 1346, 2671-2679.

e. To the extent that activities performed by National Guard personnel of a supporting state in support of this agreement are not otherwise covered under the FTCA, 28 U.S.C. Section 1346, 2671-2679, those activities will be covered pursuant to the Laws of the Commonwealth of Virginia with acknowledgement that Supporting State forces assigned to JTF-NSJ continue to be members of the Supporting State National Guard and not members of the Virginia National Guard. National Guard personnel in such cases will be considered employees of the supporting state for tort liability and immunity purposes. The Parties further agree that, in addition to the immunities enjoyed under the Federal Tort Claims Act, Supporting State National Guard troops shall enjoy all the same immunities as those enjoyed by the Virginia National Guard in performance of their mission to the extent allowed by law. Supporting State National Guard troops shall enjoy the same immunities enjoyed by them under the Supporting State legislative code as if performing duties in the same status within the Supporting State to the extent allowed by law.

f. Requests for forces will be handled according to the procedures specified in the applicable operations and executions orders. All parties agree

Domestic JTF Commander Handbook

MEMORANDUM OF AGREEMENT BETWEEN THE COMMONWEALTH OF VIRGINIA AND
SUPPORTING STATES, COMMONWEALTHS AND TERRITORIES FOR SUPPORT TO JTF-NSJ
(NATIONAL BOY SCOUT JAMBOREE 2010)

that the National Guard Bureau must validate requirements for forces prior to ordering any National Guard forces to perform duty in support of the NSJ under T32 and prior to disbursement of funds.

g. The forces of the supporting State will not be used outside the Joint Operations Area (JOA) as defined in the OPORD.

h. The forces of the Supporting State will not be utilized outside the scope of the mission as delineated for those forces in the OPORD.

4. **Rules for Use of Force.** The parties acknowledge that all National Guard personnel operating in a T32 status in support of the NSJ will perform their mission in accordance with the JTF-NSJ Rules for the Use of Force (attached). These rules contain similar, but not identical, rules for both Title 10 and Title 32 forces. These rules have been approved by the JTF-NSJ Commander and the Virginia Adjutant General after review by the Virginia Office of the Attorney General.

5. **Effective Date.** This MOA shall become effective for each party from the date of signature of that party, and will automatically terminate upon the redeployment of forces from the performance of activities related to JTF- NSJ. Any party may withdraw from the MOA upon seven (7) days notice in writing.

6. **Modifications to MOA.** This MOA may be amended, revised, or extended by the written mutual agreement of the parties.

7. **Termination.** This MOA will automatically terminate upon the redeployment of forces from the performance of activities related to JTF- NSJ. If either party wants to withdraw from this agreement, it should do so in writing with sufficient notice to allow proper mission accomplishment, if possible, by the other party.

Brigadier General Robert C. Nolan II
Commander, JTF-NSJ
Virginia National Guard
(signed in Title 32 capacity)


Date

Domestic JTF Commander Handbook

MEMORANDUM OF AGREEMENT BETWEEN THE COMMONWEALTH OF VIRGINIA AND
SUPPORTING STATES, COMMONWEALTHS AND TERRITORIES FOR SUPPORT TO JTF-NSJ
(NATIONAL BOY SCOUT JAMBOREE 2010)


WAYNE A. WRIGHT, Brig Gen, VaANG
Acting Adjutant General

17 Jul 10
Date


ABNER C. BLALOCK
Major General, AL ARNG
The Adjutant General
Alabama National Guard

25 June 2010
Date

19.4.2 New York, New Hampshire and Vermont (OPERATION Winter Freeze)

MEMORANDUM OF UNDERSTANDING

AMONG

THE STATE OF VERMONT

AND

THE STATE OF NEW YORK

AND

THE STATE OF NEW HAMPSHIRE

WHEREAS, the Department of Homeland Security through the Department of Defense requested the service of the Vermont, New York and New Hampshire National Guards to provide assistance to the U.S. Border Patrol in furtherance of its mission to protect the U.S. - Canadian border in Vermont, New York and New Hampshire; and

WHEREAS, the States of Vermont, New York and New Hampshire may provide or receive mutual military assistance to meet the mission requirements;

NOW THEREFORE, the parties enter into the following agreement and understanding:

1. Scope of Mission. The Department of Homeland Security requests the following support:

- a. Aerial assets, with infrared capability to conduct border reconnaissance.
- b. Detection and monitoring, including ground based remotely operated seismic sensors.
- c. Technical assistance at border checkpoints to conduct Chemical, Biological Radiological, Nuclear, and High Explosive (CBRNE) detection.
- d. Air transportation for law enforcement personnel
- f. Geographic information systems support.
- g. Radio direction finding/radio communications interception equipment, and technical support.

These missions shall be performed under the provisions of 32 USC 502(f). Additionally, all missions will be conducted in accordance with law, Executive Orders and applicable DoD Directives, Instructions and Regulations.

Domestic JTF Commander Handbook

2. Scope of Support. This mission may transcend political jurisdictional boundaries and intergovernmental coordination is essential in managing this mission. These missions shall be conducted under the command of the Commander, Joint Task Force Winter Freeze. The parties consent to interstate operations as necessary to conduct these missions.

3. Request for Support. The Commander, Joint Task Force Winter Freeze may request support from the parties. These requests will include:

- a. A description of the mission for which assistance is needed, including but not limited to: transportation, communications, planning and information assistance, mass care, resource support;
- b. The amount and type of personnel, equipment, materials and supplies needed and a reasonable estimate of the length of time they will be needed; and
- c. The specific places and time for staging of the assisting party's response and a point of contact at the location.

The parties agree to provide support to the extent resources are available.


4. Additional Provisions

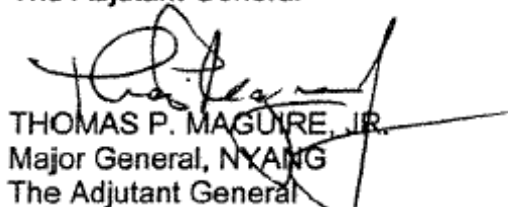
- a. Rules on the Use of Force. National Guard members will comply with the laws of the state in which they are operating.
- b. This agreement shall be read and construed to complement and not conflict with existing interstate compacts.

23 Oct 04
Date

23 Oct 04
Date

Date


MARTHA T. RAINVILLE
Major General, VTNG
The Adjutant General


THOMAS P. MAGUIRE, JR.
Major General, NYANG
The Adjutant General

JOHN E. BLAIR
Major General, NHARNG
The Adjutant General

Domestic JTF Commander Handbook

19.5 OPLAN Example – Oregon National Guard Mobilization Checklist

| <u>ACTION</u> | <u>OPR</u> | <u>NOTES</u> | <u>TIMING</u> |
|--|--|--------------|--|
| Alerting Measures | | | |
| Alert/ Warning Order | JFHQ ORNG/ JEOC | | F+12 |
| Unit Alerting/ Warning Order | JEOC | | F+12 through F+18 |
| Mobilization Order | AGP JDOMS | | NLT M-Hour |
| Unit Implementation Measures For Mobilization | | | |
| Command Post Notification/ Created | Unit Commander | | ASAP after notification |
| Notification of HHQ/ CC | Unit Command Post | | ASAP |
| Implementation of Unit Mobilization Plan | Unit CC | | F+12 through M+24 |
| Notification of Unit Command Staff | Unit CC | | ASAP |
| Form Unit Command Staff | Unit CC | | As Required |
| Individual State Active Duty Orders Published | Unit Orderly Room | | ASAP |
| Coordination of Financial Management Functions with USPFO/AGC through JEOC as applicable | Unit Financial Manager/ Commander | | M+24 |
| Initiate Unit Recall | Unit CC | | NLT M-Hour |
| Personnel Processing | J-1/ Unit Commander | * | NLT M+24 |
| Perform Personnel State Active Duty Briefings | Unit Commander *PERSCO Unavailable | | NLT M+24 |
| Process Employer Letters for Personnel | Unit Orderly Room | | NLT M+24 |
| Reports | | | |
| Forward Logistics Reports | Unit Logistics Representative/ Unit CC | | ASAP after M-Day |
| Transfer Equipment to JFHQ ORNG | Unit Logistics Representative/ Unit CC | | M+24 |
| Personnel Processing Forms for State Active Duty Completed | Individual and Commander | | NLT M+24 |
| Produce Personnel Mobilization Reports for CC review | Unit Orderly Room | | NLT M+24 |
| Forward Mobilization Report (AGO Form 4313, Daily Battle Roster) | Unit Orderly Room | ** | M+24 |
| Forward Personnel Processing Forms | Unit CC/ Unit Orderly Room | | M+48 |
| Forward Medical Reports** | Unit Orderly Room | ** | As requested by Joint Director Personnel (J-1) |
| Media Release | | | |
| News/ Media Releases | Unit/ State PAO | | HQ ORNG Approval |

* Personnel Processing will be conducted between M+0 and M+24 (unless initial responders, then when time and resources allow).

** Medical Reports will be forwarded by exception, should the Mobilization Exemption/Delay Form raise questions.

Notes for Unit Mobilizations: Any individual who is given a CDRs' waiver for mobilization will be identified. The CDR will forward all personnel processing forms to the Joint Director of Personnel through the JEOC for review.

Terms:

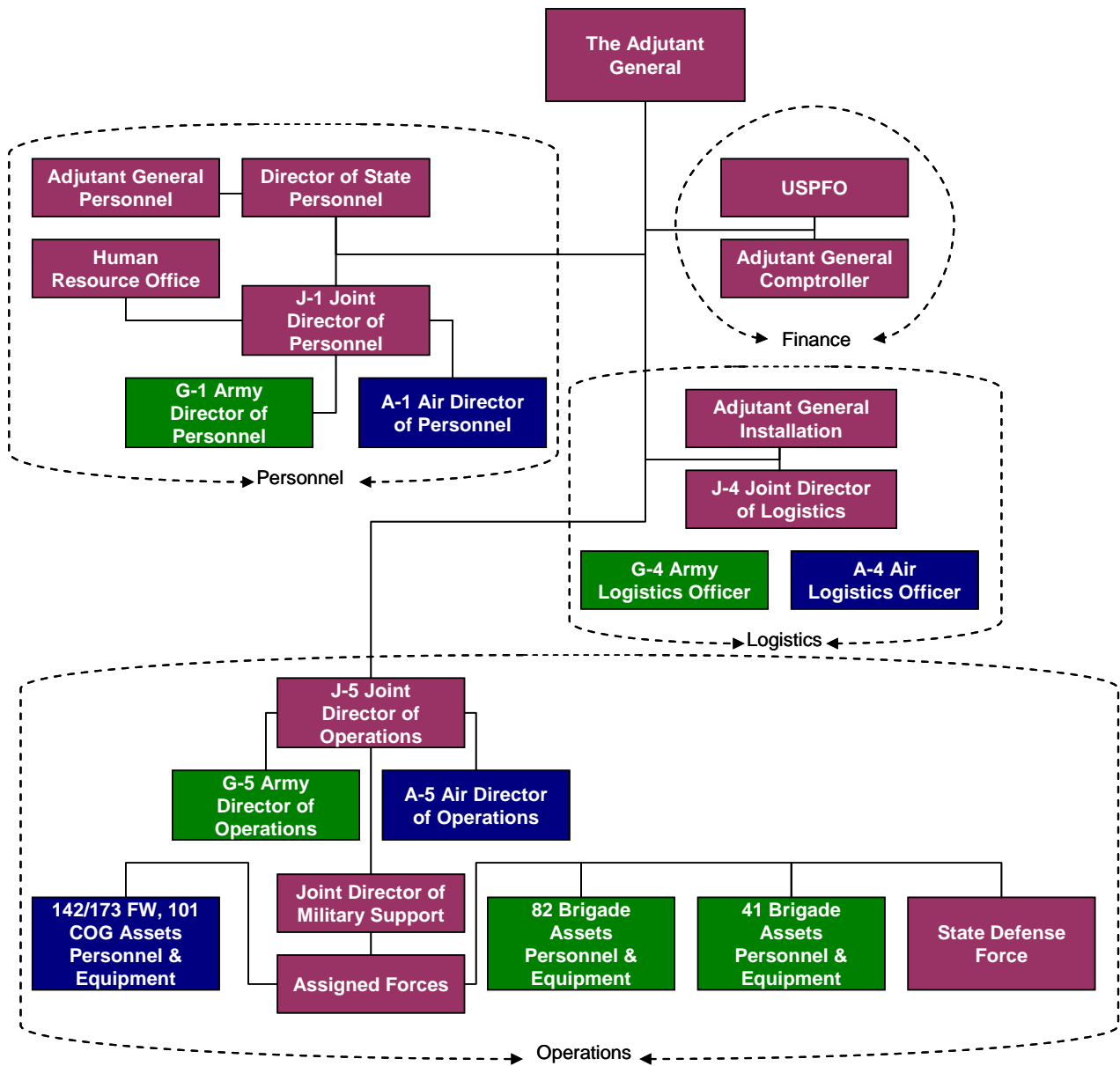
F-Hour is the effective time of announcement to the military departments by the appropriate authority to mobilize Guard Units of Personnel. This may come in the form of an alert, warning, or mobilization order.

M-Day is the unnamed day on which mobilization is to commence.

M-Hour the 1st hour of the day on which mobilization has commenced.

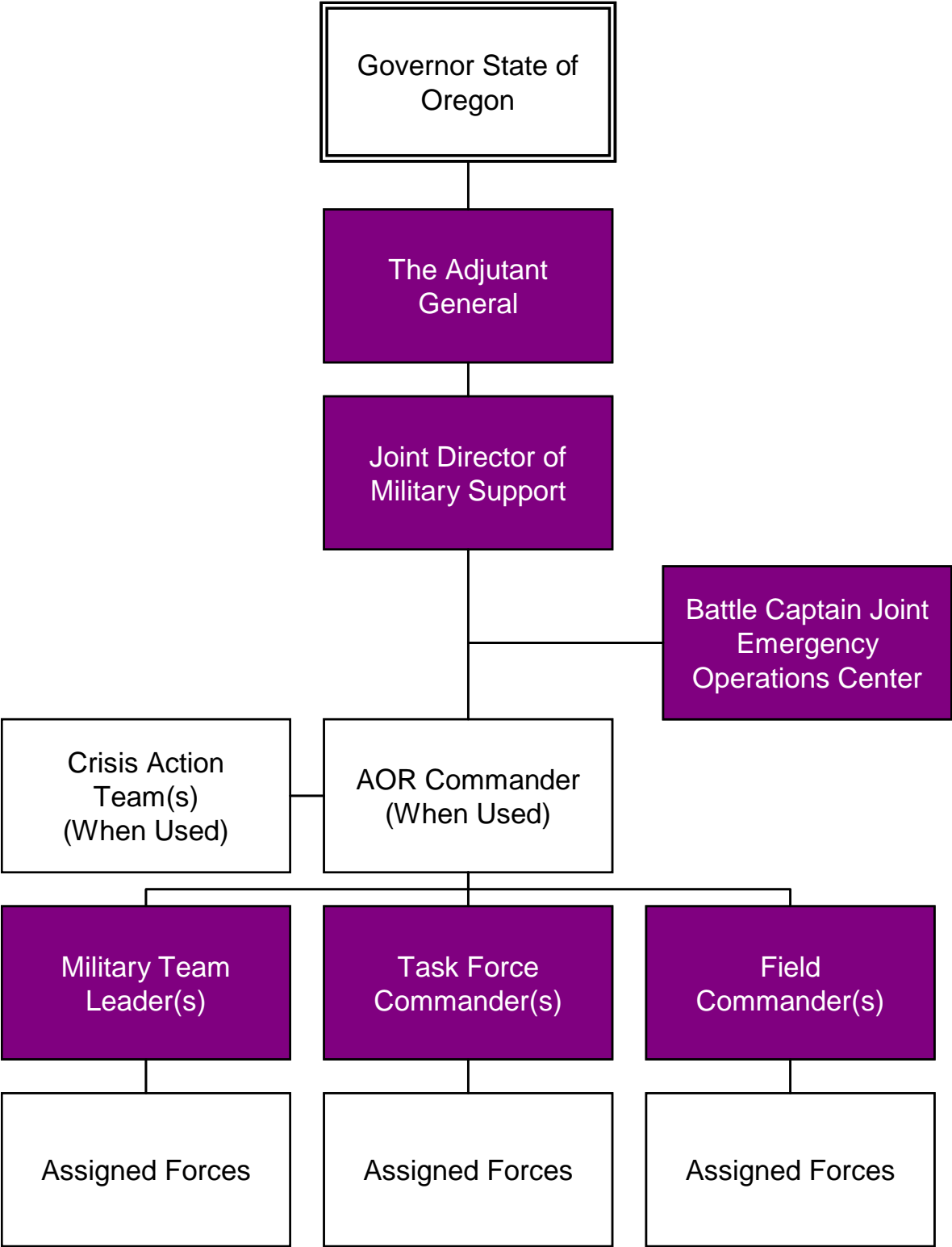
19.6 Additional Staff Structures – Oregon National Guard

Administrative Control (ADCON) for Emergency Operations



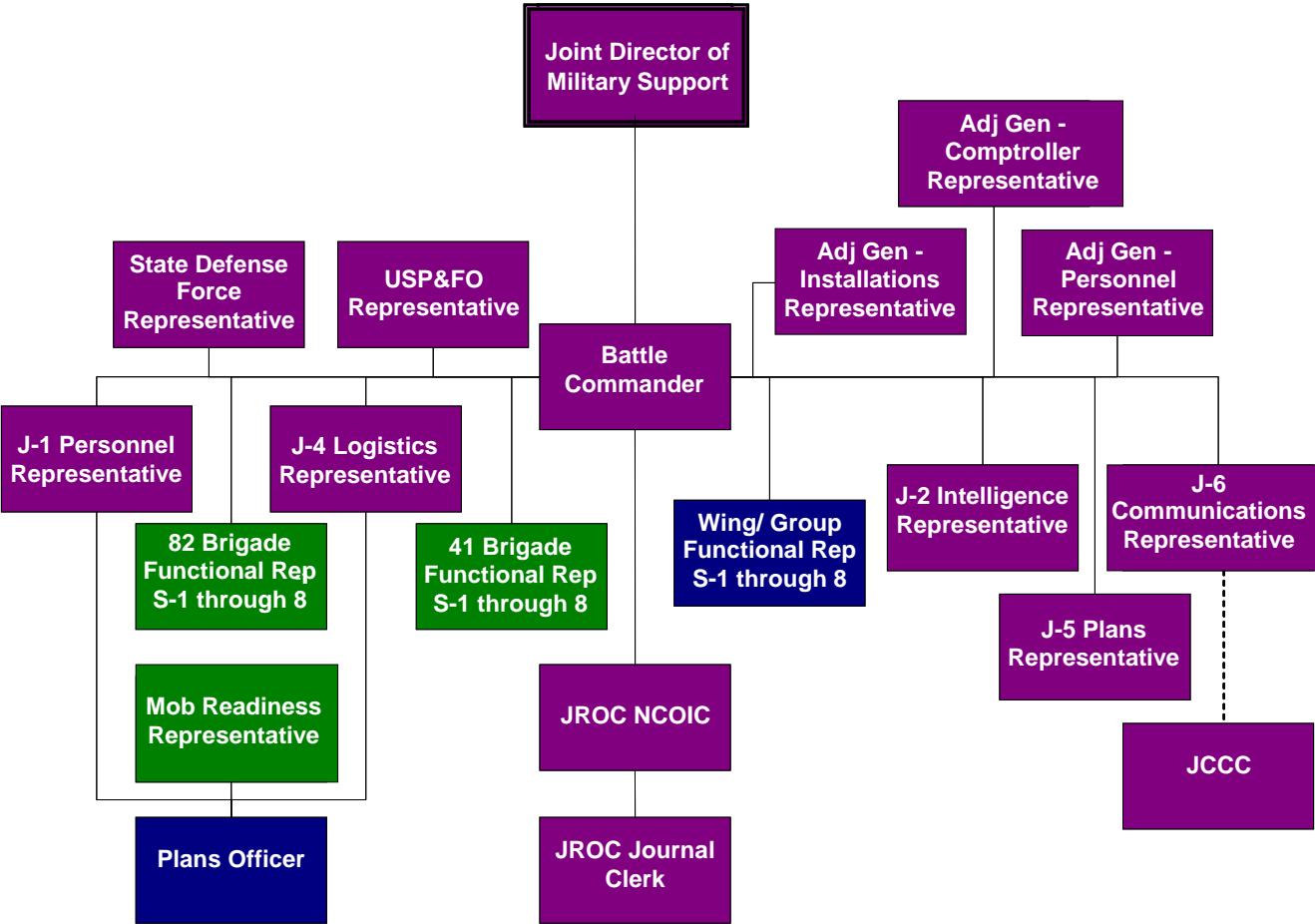
Domestic JTF Commander Handbook

Operational Control (OPCON) for Emergency Operations



Domestic JTF Commander Handbook

Joint Operations Center Organizational Chart



****Unit Functional Rep's (82/41 Brigade, 142/173 FW, 101 COG, State Defense Force) by Exception – JDOMS Call**

19.7 Case Study on Coordination among Actors involved in the 2004 G8 Economic Summit

The G8 Economic Summit is the major forum every year in which the leaders of the world's major industrialized countries sit across the table from each other and discuss the range not only of economic issues facing the world, but also political and security matters. On 13 July 2003, the White House announced that Sea Island, a remote seaside hamlet in coastal Georgia, with natural and water barriers that canalized motor and foot traffic to the island, would host the 2004 G8 Summit one year later, over 6-10 June 2004. While Georgia raged with excitement because of the world media blitz that would be generated, officials also had concerns.

Intelligence and law enforcement officials estimated that 20,000 to 150,000 people might protest G8 venues, including in the cities of Savannah and Brunswick. While most of these protesters would likely be peaceful, a small minority (about 2 percent) was expected to be anarchist or activist and employ such tactics as sit-ins, mass marches and vandalism. Meanwhile, the specter of transnational terrorism hung low after 9/11, amplified in the context of Operation Iraqi Freedom and the recent Madrid train bombing. Recognizing these realities, President George W. Bush issued a Homeland Security Presidential Directive that authorized the Secretary of Homeland Security, Tom Ridge, to declare the G8 Summit a National Security Special Event (NSSE).

The Feds Step in - with State Backup. The U.S. Secret Service is mandated to be the Lead Federal Agency (LFA) for the design and implementation of the operational security plan. Under normal circumstances, Georgia state and local law enforcement would provide the bulk of the security for the event (per Secret Service guidance). But there was far too little organic state and local law enforcement capacity for the situation. The Georgia NG would surely play a significant role. As such, TAG, Maj. Gen. Poythress, organized a "JTF-G8" and named Brig. Gen. William T. Nesbitt its CDR.

It would be a larger task than BG Nesbitt envisioned. As he noted, "We didn't realize at the time how heavy a role we would play, or that we would be called up on to provide the dual-hatted command for all of the military operating in the Joint operational area. But we did know that we were going to have a big involvement."

The Mandate: Coordination. It was clear to him from the start that the JTF's success was going to be contingent on coordination with the other military, intergovernmental and non-governmental entities involved in providing security at the G8. The Guard already had a lot of relationships established with many of them. It had dealt with the Coast Guard, DEA and FBI in counter-drug missions. It dealt regularly with state and local law enforcement entities for routine training. But these all had to be deepened – and quickly – to clarify mission responsibilities, maximize resource allocation and facilitate prompt information exchange. Nesbitt knew: "You don't want to be exchanging business cards at the site of the attack."

Domestic JTF Commander Handbook

There was a large cultural divide from the start. As BG Nesbitt noted: “The military emphasized the unity of command with a single person in charge to de-conflict and make decisions and issue orders. But that’s not the way it works in civilian agencies. They have a decentralized C2 structure. They collaborate to jointly make decisions. They negotiate to work out issues. The Incident Commander has jurisdiction, but doesn’t really command the other agencies involved. It’s pretty much voluntary participation.” In addition, there was some friction between and among the Federal and State Agencies. Nesbitt wondered how the Georgia NG might either exacerbate or mitigate these tensions.

Orchestrating the Coordination. Regardless, the complexities of the G8 demanded the involvement of Federal, State and Local assets. At the heart of the effort was a civil-military committee structure that processed information through the military decision-making process. The Secret Service had a Special-in-Charge in Atlanta and a Special Agent for operations, Brian Swaine, located at Sea Island. As the LFA, it set up a multi-agency coordination center (MAC) with 19 functional subcommittees.³² According to Nesbitt, “the Secret Service was probably the most open-minded Federal agency I’ve ever worked with. It’s a very professional organization that only keeps the very best in its ranks. They believe in empowerment. They gave the operators that were in charge the authority to plan and they in turn turned around to us and empowered us to help them input into the planning.” From the start, the GA/NG was pro-active in building a close relationship with the Secret Service. Supporting the Secret Service at the Federal level was also a FBI Joint Operations Center, which monitored the situation to be ready to act if a criminal act took place, including a terrorist event, and the NSSE transitioned into a crisis management event.

At the State level, the Georgia Department of Homeland Security established its own planning committees with the principal mission of supporting and reinforcing local law enforcement against civil disturbance. Georgia had well developed interagency relationships given experience managing storms in 1993, floods in 1994 and the Olympics in 1996, which facilitated forming committees among the various state-level agencies, including the Georgia NG, for the G8. One particular State innovation this time-around, however, was the creation of about 20 “Mobile Field Force” (MFF) teams – comprised of 65 personnel each, headed by the Georgia State Police and manned by the Georgia Bureau of Investigation, the Department of Corrections and guardsmen – which could be deployed on short-notice to places like Savannah or Brunswick to support the local efforts. Lastly, at the Local level, Police departments, sheriffs and fire departments provided first-responder and basic law enforcement capacity.

³² These subcommittees included: logistics, hazmat/EOD, water security, venues, accreditation/credentialing, airspace security, civil disturbance/prisoner processing, consequence management, crisis management, critical systems, dignitary/VIP protection, fire/life safety, intelligence & counter terrorism, interagency communication, legal, public affairs, tactical & counter surveillance, training, and transportation/traffic.

Domestic JTF Commander Handbook

All these agencies needed to what each was doing, to set expectations and divide up responsibilities. Regular meetings were the backbone of the effort – monthly at the outset, building up to every week by the time of the event. JTF-G8 representation in the Secret Service, George DHS and local law enforcement planning venues ensured it was plugged in. Because there was so much to do in such a short period of time with resources constrained, Col. Childers reported, “any agency that tried to control the situation by controlling information – there was no room for anybody to play any kind of petty games like that.” Nesbitt wondered: it was double and triple redundancy, but was it overload?

The “Outsider”: the Medical Community. The biggest non-governmental relationship JTF-G8 needed to establish was with the local medical community. As a matter of economics, the area around Sea Island had a small surge capacity in case there was a significant domestic incident. To worsen matters, JTF-J8 felt as if the medical community hadn’t planned sufficiently to deal with such a contingency. Nesbitt observed, “If we had had a chemical or biological event, it would have been very difficult for the medical establishment within the joint operational area to deal with it. It would have been overwhelmed.”

Planning the Mission with Others. Within this context, JTF-J8’s mission boiled down to “conduct[ing] military support to civil authorities (MSCA) to support local, state, and federal law enforcement agencies in order to facilitate a successful, safe, and secure execution of the G8 Summit.” Its specific priorities focused on: outer perimeter security at venue locations, civil disturbance operations, local law enforcement support to CI sites in and out of the JOA, airport security, traffic control point (TCP) operations, Presidential extraction missions, hazardous materials screening, environmental assessments, air defense, traffic control, and other consequence management support missions.³³ To support this mission, BG Nesbitt allotted 4,871 guardsmen to the mission.

As the planning ensued over the next year, meetings among officials involved in the Federal, State and Local planning efforts increased in frequency. In addition to standard training routines, the JTF-G8 conducted a number of “rock drills” where it walked through plans day-by-day event in a floor mock-up or through a physical terrain walk. All the other agencies were invited; most of them participated. As they went through the drill and saw who was doing what where, they’d resolve issues or conflicts right there on the spot. When they couldn’t, they went back and caucus and only if necessary request the Secret Service to adjudicate. For example, on arming soldiers, the priority rested with the law enforcement customer, *e.g.*, the Police chief in Savannah or Brunswick, but guardsmen needed more specific guidance.

³³ One contention arose early. The Secret Service wanted primacy in providing perimeter security defenses. But the Guard had far more extensive expertise in such static, land-based defenses and convinced the Secret Service to give that role up.

Domestic JTF Commander Handbook

But one important element was not involved in most of this pre-G8 training: the active-duty military component. Although the Georgia TAG and Commander of USNORTHCOM had discussed and agreed on having Title 10 troops under the Guard's JTF-G8 authority, the President made the JTF a dual status command only a number of days before the summit. Thus, with but a few days to integrate the force, BG Nesbitt had roughly 2,400 active personnel placed under his control. While this dual-status command structure provided certain operational advantages, it created some havoc. BG Nesbitt noted, "We didn't know how to do the paddles and flares until right before execution. The Title 10 folks were not involved in any of the training. They had done some of their own planning but it took a lot of coordination and going down there and walking the ground and having me and my staff get comfortable with the planning they had done and integrating them into the plans that we had already made.

Coordination During Execution. During the G8 itself, the aggressive information-sharing continued. There was an ongoing electronic bulletin for people to post and access information, which also helped shaped the common operational picture (COP). The Secret Service convened meetings twice a day, at 0700 and at 1700, of the senior representing each agency. Not a lot of changes came from those meetings; it was more coordination and information sharing because the plans were pretty well set and few adjustments were needed. This regime would have been taxed in an actual crisis, but thankfully that situation never arose. At 0800, there was a large state-wide NGB conference call to update the State JOC, the CDRs at Ft. Stewart, etc. At 0930, there was a meeting with all the JTF subordinate CDRs to get feedback on their activities and any additional requirements they had. At noon, there was a conference call with USNORTHCOM representatives, including the deputy CDR and the J3. And in the evening, a battle captain would help BG Nesbitt draft and e-mail an update to the senior officials at USNORTHCOM, NGB, GA/NG, etc., recapping what had happened that day and laying plans for the following day. According to BG Nesbitt, "That really cut down on the amount of queries for information."

Facilitator's Guide

Question 1: How can a Dual Status JTF Commander manage the cultural divide between the military and civilian entities to facilitate coordination among them?

What really happened: A Dual Status JTF Commander is in a unique position to help foster coordination because of the NG's longstanding relationships with State and local civilian authorities as well as the active military. Thus, the Guard can serve as a bridge to groups that normally do not communicate very well with each other.

A key method to breed this trust was to build trust by showing deference and highlighting its support role to civilian authorities. As Col. Ted Childers, BG Nesbitt's G3, observed, "We were not in direct command, but we had a lot of influence as a result of showing them that we understood that we know we are not in charge. As such, BG Nesbitt's philosophy in dealing with the various entities was more persuasion than

Domestic JTF Commander Handbook

coercion. “It was important to be able to lean forward and anticipate what we all had to do, but not push the others,” he observed. “If we started pushing the other agencies, often they’ll push back, and then it’s difficult to re-establish that contact.” JTF-G8’s efforts seemed to bear fruit. The civilian agencies, particularly at the lower level, “would defer to us about recommendations on courses of action,” Col. Childers observed.

Key points

- The Guard possesses a power-broker role because of its knowledge of State and Local entities.
- A Dual Status JTF Commander is not in direct command, but still has a great deal of influence
- Showing other agencies and organizations that the CJTF and his staff understand that they know we are not in charge, but are fully engaged in help arrive at common solutions goes a long way.

Question 2: How should the Dual Status JTF Commander and his staff participate within these various interagency/intergovernmental committees?

What really happened: The planning occurred at three levels: Federal, State and Local. The GA/NG was the co-chair of the Federal venue security committee and had LNO’s to the others. It was intimately involved in the State committees run by DHS. There was intense back-briefing among the Guardsmen involved in all three to keep everyone informed of what was happening in each planning venue.

Key Point

- A command philosophy that emphasize the Guard’s *support* function, tied with a willingness to lend its planning and decision making acumen, will sell itself to give the CJTF influence.

Question 3: What niche capabilities does a Dual Status JTF Commander and his staff bring to coordination and planning committees?

What really happened: Given the anticipated scope of the Guard’s role, BG Nesbitt was proactive: “Almost immediately, we got involved with the Secret Service and offered some planners to help them in developing the plan, which I think really paid big dividends for us.”

Key point

- Planning and execution occurs at three levels: Federal (led by the Secret Service in an NSSE normally), State (led normally by the State Department Homeland Security) and Local (led by township/city Police departments and law enforcement authorities).
- The Guard has a role in all of them to stay abreast of issues and contribute its specialized knowledge and expertise.

Domestic JTF Commander Handbook

- The Guard has the niche capability to of a rigorous planning process – the military decision making process – that helps organize efforts.

Question 4: What can a Dual Status JTF Commander do to integrate agencies and organizations that are on the periphery of the JTF's mission scope, such as the medical community?

What really happened: Although the medical mission was outside the JTF's mission scope, BG Nesbitt built contingency plans for the Army's Southeast regional medical command to move a field hospital into the area and devised a plan for triage and transportation of injured. But Nesbitt never felt comfortable with the medical plan.

Key point

- Engage the medical community early, normally through the State DHS to calculate capacity and run contingency drills.

Domestic JTF Commander Handbook

19.8 Case Study: 2004 Republican National Convention - Capabilities Identification and Generation

When the Republican National Committee announced that New York City would be the site for the Republican National Convention, 30 August - 2 September 2004, GOP operatives were ecstatic. Republicans would be reclaiming a city as one traditionally dominated by Democrats. Popular moderates in Rudy Giuliani, Mike Bloomberg and George Pataki would be featured to give the party traction among swing voters. And it would be held just a few days before the anniversary of the tragic 9/11, which would highlight what the President perceived as a political asset: his leadership in responding to al Qaeda and the global war on terrorism.

But the announcement also set up a furious panic among Federal, State and Local officials. It was quickly designated by President Bush as a National Security Special Event (NSSE) to reflect the risks involved and thus trigger Federal involvement in providing operational security. How would they provide adequate security for what was would be plum target for mass demonstrations and potential terrorist attacks?

Leveraging the path-breaking command structure used for the G8 Economic Summit in Georgia, the President and Governor George Pataki established a Dual Status JTF Commander to manage NG personnel authorized under Title 32 and active-duty forces authorized under Title 10. BG David Sheppard was named the Dual Status JTF Commander. As BG Sheppard took up the post, a daunting task faced him: What capabilities did he need? Where were they located? How would he integrate them properly to employ them effectively?

To undertake this task, BG Sheppard turned to the trusty techniques embedded in the military decision-making process. He took the Execution Order (EXORD) issued by USNORTHCOM conducted a detailed mission analysis. In turn, BG Sheppard canvassed his Joint Force Headquarters to issue a restated Operations Order (OPORD). To generate specific capability requirements, he canvassed key customers in the New York area as to what they needed, including to ensure proper protection and operation of transportation hubs and commercial nodes.

It was an important objective, although not fully realized, to ask that inputs be cast in capability output terms (*e.g.*, the ability to screen 50,000 people at 10 points of entry), rather than material inputs (*e.g.*, 1,000 trained gatekeepers). A critical goal was also to link various mission tasks identified to State Active Duty (SAD) force or Title 32 NG duties.

Very quickly as Sheppard dissected the mission and considered reception, staging, onward movement and integration, he realized that his capability set would need to reflect the needs of New Jersey and Connecticut. After all, the Joint Operational Area would have access points through many bridges and tunnels into these states. He

Domestic JTF Commander Handbook

thought of whether an air defense capability would be necessary, as BG Nesbitt deemed necessary in George for the G8 Summit earlier in the summer, but quickly surmised that due to building cover, he needed no such systems.

BG Sheppard and his J-3 collected the responses, integrated them and presented them in a single package to the TAG. But who had these assets? How would he get them? The TAG distributed the package to the various force providers in the New York NG: the NYARNG, NYANG, NY MILITIA and NY Navy Militia. He asked each the question: “Do we have these capabilities in-house?” Some were there, others not. He turned to the NG Bureau in Washington. For example, BG Sheppard had identified a requirement for 3 Civil Support Teams (CSTs) in the case of a domestic incident, not just the one New York State maintained. The NGB identified Massachusetts and Pennsylvania and ordered their CSTs be allocated to New York for the duration of the RNC.

BG Sheppard forwarded his remaining requirements that could not be met by either the New York NG or the NG Bureau to USNORTHCOM, the national force provider for missions on the homeland. The most important asset category that Sheppard needed to fill from USNORTHCOM was communications, due largely to the high-rates of bandwidth, connectivity and coverage needed for an event of this size. He knew that the Federal agencies would be operating on different frequencies and that they needed to use civilian compatible radios to accommodate the non-profits organizations that would be in-theater. The great enabler for all our operational capacity was just to import the USNORTHCOM package in total. “We needed it; they had the state of the art packages off the shelf, things like JREES and DIESL radios and Hawkeye transponders. It’s the first thing I would ask for from NORTHCOM in any NSSE,” Sheppard recalls. Thus, USNORTHCOM supplied BG Sheppard with a JTF Commanders Communication Package, which was fielded by a team from the Army’s Communications and Electronics Command (CECOM). “This also allowed us to have instantaneous interoperability and create a solid common operational picture (COP) via USNORTHCOM.”

One political hot-potato arose, however. BG Sheppard requested a Marine Corps Chemical Biological Incident Response Force (CBIRF), which was the military’s premier rapid-response unit for CBRNE episodes. However, Governor Pataki and other political figures deemed that they were satisfied with the CBRNE Enhanced Response Force Package (CERFP) that New York already had organized and validated. As a result, BG Sheppard’s request was turned down.

Assets started to show up, although who would pay for their deployment seemed a bit opaque. Regardless, BG Sheppard had what he needed – in fact, all that he requested. Of course, what would happen to this assessment if there were an incident at the Convention? BG Sheppard could only guess because the contingencies were simply too many and varied. Now, as he sat to consider employing these great forces he had, he

Domestic JTF Commander Handbook

was struck by how to bring these disparate elements together with civilian-provided assets and ensure interoperability.

Key Learning Objectives/Issues

Identifying customers

- Who were BG Sheppard's customers that will drive his requirements?
- What does he need to know about these customers?
- What capabilities do his customers have?
- What capabilities are they lacking (and will probably ask him for)? How do you find out what the people who are supporting you need?

Accessing capabilities

- Where are you going to get the capabilities you need?
- What is the proper sequence by which the CDR should seek to meet his requirements?
- How do you keep tabs on requests?

Adjudicating requirements

- How are request adjudicated? How do you know your plan is valid/effective?

NGB's role

- What is the NGB's role in this process?
- What do you expect from NGB?

Facilitator's Notes

The first and foremost customer was the New York City Office of Emergency Management (OEM), followed by MetroNorth, the Long Island Railroad, the Mass Transit Authority and the Port Authority of New York and New Jersey. Importantly, Sheppard did not try to divine non-profit capability requirements, instead relying on the NYS OEM to collect, analyze and forward civil support requirements.

The typical sequencing is to obtain whatever he can first from within his State's NG; then the NGB; and lastly USNORTHCOM. However, there will be some capabilities which he should recognize very early as being more naturally resident at USNORTHCOM that he should call for very early on, *e.g.*, communications packages.

EMACs – national mutual-aid and partnership agreements that allow state-to-state assistance during Governor- or federally declared states of emergency – are a critical component to any operation to ensure that guardsmen and their assets can be deployed across State boundaries, and readily integrated with another State's, and be reimbursed by the Federal government after the fact (since they are on SAD).

Domestic JTF Commander Handbook

Interoperability remains a problem, but communications packages from USNORTHCOM can help. USNORTHCOM'S communications package was perhaps the number one most important asset to the CJTF in order to ensure proper functioning of the JTF.

Domestic JTF Commander Handbook

19.9 Mission Assignment Form for Stafford Act Declarations

| | | | | | |
|---|--|---|--|---|----------------------|
| U.S. DEPARTMENT OF HOMELAND SECURITY EMERGENCY PREPAREDNESS AND RESPONSE DIRECTORATE MISSION ASSIGNMENT (MA) | | See reverse side for Paperwork Burden Disclosure Notice | | O.M.B. No. 1660-0047 Expires February 29, 2004 | |
| TRACKING INFORMATION (FEMA Use Only) | | | | | |
| STATE | | ACTION REQUEST NO. | | PROGRAM CODE/ EVENT NO. | |
| | | | | DATE/TIME RECEIVED | |
| II. ASSISTANCE REQUESTED | | | | | |
| ASSISTANCE REQUESTED | | | | | |
| QUANTITY | | DATE/TIME REQUIRED | | | INTERNAL CONTROL NO. |
| DELIVERY LOCATION | | | | | |
| INITIATOR/REQUESTOR NAME | | 24-HOUR PHONE NO. | | 24-HOUR FAX NO. | DATE |
| POC NAME | | 24-HOUR PHONE NO. | | 24-HOUR FAX NO. | DATE |
| * State Approving Official (Required for DFA and TA): | | | | | |
| III. INITIAL FEDERAL COORDINATION (Operations Section) | | | | | |
| Action to: | <input type="checkbox"/> ESF No.: <input type="checkbox"/> Other: | DATE/TIME | | PRIORITY <input type="checkbox"/> 1 LIFESAVING <input type="checkbox"/> 3 HIGH <input type="checkbox"/> NORMAL <input type="checkbox"/> 2 LIFE SUSTAINING <input type="checkbox"/> 4 MEDIUM | |
| IV. DESCRIPTION (Assigned Agency Action Officer) | | | | | |
| MISSION STATEMENT: | | | | | |
| (Your agency is responsible for submitting a Mission Assignment Monthly Progress Report to FEMA to include cost data when Mission Assignments take more than 60 days to complete, including billing.) | | | | | |
| ASSIGNED AGENCY | | PROJECTED START DATE | | PROJECTED END DATE | |
| <input type="checkbox"/> NEW or <input type="checkbox"/> AMENDMENT TO MA NO.: | | | | TOTAL COST ESTIMATE: \$ | |
| ASSIGNED AGENCY POC NAME | | PHONE NO. | | FAX NO. | |
| V. COORDINATION (FEMA Use Only) | | | | | |
| TYPE OF MA: <input type="checkbox"/> Direct Federal Assistance State Cost Share (0%, 10%, 25%) <input type="checkbox"/> Technical Assistance (State Cost Share (0%)) <input type="checkbox"/> Federal Operations Support State Cost Share (0%) | | | | | |
| STATE COST SHARE PERCENT % | | | | STATE COST SHARE AMOUNT \$ | |
| FUND CITATION 20__-06-__-__-__-__-__- 250-__-D | | APPROPRIATION CODE 70X0702 | | | |
| MISSION ASSIGNMENT COORDINATOR (Preparer) | | | | | DATE |
| ** FEMA PROJECT OFFICE/BRANCH CHIEF (Program Approval) | | | | | DATE |
| ** COMPTROLLER/FUND CONTROL (Funds Review) | | | | | DATE |
| VI. APPROVAL | | | | | |
| * STATE APPROVING OFFICIAL (Required for DFA and TA) | | | | DATE | |
| ** FEDERAL APPROVING OFFICIAL (Required for all) | | | | DATE | |
| VII. OBLIGATION (FEMA Use Only) | | | | | |
| MISSION ASSIGNMENT NO. | | AMOUNT THIS ACTION \$ | | DATE OBLIGATED | |
| AMENDMENT NO. | | CUMULATIVE AMOUNT | | | INITIALS |
| * Signature required for Direct Federal Assistance and Technical Assistance mission assignments ** Signature required for all mission assignments | | | | | |

Domestic JTF Commander Handbook

PAPERWORK BURDEN DISCLOSURE NOTICE

Public reporting burden for this is estimated to average 20 minutes per response. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing and reviewing the form. You are not required to respond to this collection of information unless a valid OMB control number is displayed in the upper right corner of this form. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing the burden to: Information Collections Management, Department of Homeland Security, Emergency Preparedness and Response Directorate, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472. NOTE: Do **not send your completed form to this address**.

INSTRUCTIONS

Items on the Mission Assignment (MA) form that are not specifically listed are self-explanatory.

I. TRACKING INFORMATION. Completed by Action Tracker or other Operations staff. Required for all requests.

State: If multi-State, choose State most likely to receive resources, (i.e., when using 7220-SU Program Code)

Action Request No.: Based on chronological log number. Used for tracking.

Program Code/Event No.: The pre-declaration, emergency, or major disaster number assigned for funding the event. Examples: 7220-SU, 4220-AD, 3130-EM, 1248-DR.

II. ASSISTANCE REQUESTED. Completed by requestor.

Assistance Requested: Detail of resource shortfalls, give specific deliverables, or simply state the problem.

Internal Control No.: Internal requestor reference, log, or control number, if applicable.

Initiator/Requestor: The initiator may be an individual filling out the mission assignment and making a request on behalf of the POC.

POC Name: The person coordinating reception and utilization of the requested resources. 24-hour contact information required.

State Approving Official: Signature certifies that State and local government cannot perform, nor contract for the performance, of the requested work and agrees to pay cost share if any.

III. INITIAL FEDERAL COORDINATION. Completed by the Operations Section Chief.

Action to: Operations Chief notes assigned organization. May be Emergency Support Function (ESF), internal FEMA organization, or other organization, which assigns the Action Officer.

Rest of MA used only if solution to request requires Federal agency to perform reimbursable work under (MA). Best solution may be internal resources or commercial vendor. Deliberate evaluation must occur before MA is completed and MA is issued.

IV. DESCRIPTION. Completed by assigned agency Action Officer.

Mission Statement: Description of steps to complete the request. Include discussion of personnel, equipment, subtasked agencies, contracts and other resources required. This can be provided as an attachment.

Assigned Agency: Agency receiving the MA from FEMA. Activities within the scope of an ESF result in an MA to the primary agency.

Cite subordinate organization if applicable. Example: DOT-FAA, COE-SAD.

Project Completion Date/End Date: If end date is not clear, estimate and budget for 30 or 60 days, then re-evaluate. TBD is not acceptable; some date must be entered into this field.

Total Cost Estimate: A budget can be attached outlining personnel, equipment, contract, sub-tasked agency, travel, and other costs.

V. COORDINATION. Completed by MAC, except for Project Officer and Comptroller signatures.

Type of MA: Select only one.

Appropriation Code: Static data. Do not change. This is for information only, should not be used to report internal agency finances to Treasury.

VI. APPROVAL. Completed by State Approving Official and Federal Approving Official.

VII. OBLIGATION. Completed by Financial Specialist.

Mission Assignment No.: Assigned in FEMA financial system chronologically using assigned agency acronym and two-digit number.

Amendment No.: Note supplement number. For example: COE-SAD-01, Supp. 1, or DOT-08, Supp. 3.

Amount this Action: Taken from total cost estimate above.

Cumulative Amount: Cumulative amount for this MA, including amendments.

Domestic JTF Commander Handbook

19.10 Mission Assignment Form (Stafford Act Declarations): Subtasking Request Form

ESF Mission Assignment (Stafford Act Declarations) Subtasking Request Form

ESF MISSION ASSIGNMENT SUBTASKING REQUEST

| | | |
|--------------------------------|--------------------------|--------------------|
| FEMA-Assigned MA Number: _____ | ESF Primary Agency _____ | |
| Subtasked Agency _____ | State _____ | Disaster No. _____ |

Tasking Statement/Statement of Work

Project Completion Date: _____ Authorized Funding: _____

Reimbursement Procedure: Upon completion of scope of work, the subtasked Federal agency will submit a SF 1081, or other approved Treasury form to request reimbursement, detailing expenditures and activities to:

_____ (ESF Primary Agency)

_____ (Address)

The ESF primary agency will:

- (1) Review the reimbursement request and recommend approval or disapproval within 10 workdays of receipt.
- (2) Return approved reimbursement requests to subtasked agencies that use the Intra-governmental Payment and Collection (IPAC) system for transaction processing and simultaneously forwarding supporting documentation to the DFC.
- (3) Forward approved reimbursement requests from non-IPAC agencies to the Disaster Finance Center. The Disaster Finance Center will send payment directly to the subtasked agency for non-IPAC agencies.

Statutory Authority: Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1988, as amended, 42 U.S.C 5121-5201.

Authorizing Officials:

The work described in the above tasking statement will be completed in support of the Federal Response Plan.

Authorizing Official, Subtasked Agency

Date

Authorizing Official, ESF Primary Agency

Date

Following signatures please provide information copy to FEMA MAC and Project Officer.

Domestic JTF Commander Handbook

19.11 National Response Framework – Catastrophic Incident Supplement – Federal Execution Schedule

Below is an explanation of how the Federal Execution Schedule is organized.

A nuclear detonation occurs in a U.S. metropolitan area.

No later than 30 minutes following DHS Secretary designation of the event as a catastrophic incident ...

... the Department of Homeland Security ...

... automatically initiates Action DHS-12.

| Incident Type | | | | | | Initiation Time (no later than) | Action | Responsible Agency / Support Agency | Action Identification |
|---------------|---|---|---|---|---|------------------------------------|---|-------------------------------------|-----------------------|
| N | H | C | B | R | N | | | | |
| | | ■ | ■ | ■ | ■ | 1+30 minutes | Activate USCG National Strike Force to deploy three 10-person HAZMAT teams. | DHS | DHS-12 |

- Unless indicated otherwise under the “Action” verbiage, the action reflects the time the action will be initiated, not completed.
- **Bold** actions reflect resources that will deploy to or activate within or near the incident area.
- The term “ALL” when used under the “Responsive Agency” column refers to all Federal Departments and Agencies *to which the action applies*.
- Where multiple but specific agencies are listed under the “Responsive Agency” column, the corresponding Action Identifier is “M.”
- Action Identification numbers are provided to facilitate quick reference.
- The term “initiate deployment actions,” when used under the “Action” column, means to mobilize resources for immediate pickup at the designated air/ground departure point.
- Incident types are as follows:
 - NH – Natural Hazards (Earthquake, Hurricane, Tsunami, Volcano, *et al*)
 - C – Chemical Incident
 - B – Biological Incident
 - R – Radiological Incident
 - N – Nuclear Incident
 - E – High-Explosive Incident

Domestic JTF Commander Handbook

Refer to the Catastrophic Incident Supplement for this schedule listed by agency. Also in the Catastrophic Incident Supplement are more specific processes for the following:

- Mass Care Response Overview
- Decontamination Response Overview
- Medical Equipment and Supplies Response Overview
- Mass Fatality Response Overview
- Public Information and Incident Communications Response Overview
- Search and Rescue Response Overview
- Public Health and Medical Support Response Overview
- Patient Movement Response Overview
- Housing Response Overview
- Private Sector Support Overview

Domestic JTF Commander Handbook

| NH = Natural Hazards, C = Chemical, B = Biological, R = Radiological, N = Nuclear, E = High-Explosive Incident Type | | | | | | Initiation Time (no later than) | Action | Responsible Agency / Support Agency | Action Identification |
|---|----------|----------|----------|----------|----------|--|---|--|------------------------------|
| N | H | C | B | R | N | E | | | |
| | | | | ■ | ■ | | I+10 minutes Activate Emergency Alert System (EAS). | DHS | DHS-1 |
| ■ | | ■ | ■ | ■ | ■ | ■ | I+10 minutes Activate Incident Communications Emergency Plan (ICEP). | DHS | DHS-2 |
| ■ | | ■ | ■ | ■ | ■ | ■ | I+10 minutes Activate National Incident Communications Conference Line (NICCL). | DHS | DHS-3 |
| | | | | ■ | ■ | | I+10 minutes Coordinate first release of information to public. | DHS | DHS-4 |
| ■ | | ■ | ■ | ■ | ■ | ■ | I+10 minutes Establish and maintain lines of communication with State authorities for incident venues. | DHS | DHS-5 |
| ■ | | ■ | ■ | ■ | ■ | ■ | I+15 minutes Coordinate and identify Federal Mobilization Center site(s) and notify NRP-CIS action agencies. | DHS | DHS-6 |
| ■ | | ■ | ■ | ■ | ■ | ■ | I+15 minutes Activate and initiate deployment actions for the FEMA Mobilization Center Team and equipment cache. | DHS | DHS-7 |
| ■ | | ■ | ■ | ■ | ■ | ■ | I+15 minutes Initiate deployment actions for an ERT-A (including Rapid Needs Assessment Team), the on-alert Federal Incident Response Support Team (FIRST) and the on-alert National Emergency Response Team (ERT-N). Place all remaining FIRSTs and ERT-Ns on full alert. | DHS | DHS-8 |
| ■ | | ■ | ■ | ■ | ■ | ■ | I+15 minutes Activate, at full staffing levels, the Domestic Readiness Group (DRG), NOC-NRCC (including MCB), and Regional Response Coordination Centers (RRCCs) with incident oversight. Activate all other RRCCs at watch staff levels. | DHS | DHS-9 |
| ■ | | ■ | ■ | ■ | ■ | ■ | I+15 minutes Activate all NRP Emergency Support Functions (ESFs) at full staffing levels. | ALL | A-1 |
| | | | | ■ | ■ | | I+15 minutes Implement protective actions that correspond to a "SEVERE" condition under the Homeland Security Advisory System (HSAS). | ALL | A-2 |
| ■ | | ■ | ■ | ■ | ■ | ■ | I+15 minutes Activate the HHS Secretary's Emergency Response Team (SERT). | HHS | HHS-1 |

Domestic JTF Commander Handbook

| NH = Natural Hazards, C = Chemical, B = Biological, R = Radiological, N = Nuclear, E = High-Explosive Incident Type | | | | | | Initiation Time (no later than) | Action | Responsible Agency / Support Agency | Action Identification |
|---|----------|----------|----------|----------|----------|--|---|--|------------------------------|
| N | H | C | B | R | N | | | | |
| ■ | ■ | ■ | ■ | ■ | ■ | I+15 minutes | Initiate actions to deploy (Transportation Security Advanced Team) TSAT | DHS | N/A |
| | | ■ | ■ | ■ | ■ | I+15 minutes | Initiate actions to deploy and deliver appropriate Strategic National Stockpile (SNS) initial push-packages to a Federal Mobilization Center or other designated reception location. | HHS | HHS-2 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+30 minutes | Activate Mobile Emergency Response Support (MERS) and deploy Life Support Vehicles and MERS Emergency Operations Vehicle to the affected area to establish a temporary operating location for the Principal Federal Official (PFO) and support staff. MERS deployment elements to carry JFO set-up equipment (100-person JFO kit and two DISC Packs). | DHS | DHS-10 |
| ■ | ■ | | | ■ | ■ | I+30 minutes | If the incident involves collapsed structures, activate and initiate deployment actions for all on-alert, weapons of mass destruction (WMD)-equipped National US&R Task Forces, Incident Support Teams (ISTs), and caches. Activate and fully mobilize all other WMD-equipped National US&R assets in place. Place all remaining National US&R Task Forces and ISTs on full alert. Deployment into the incident area will be as directed by the National Response Coordination Center (NOC-NRCC). | DHS | DHS-11 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+30 minutes | | HHS | HHS-3 |
| | | | | ■ | ■ | I+30 minutes | Close airspace in affected area (via Temporary Flight Restrictions (TFRs) and Notices to Airmen (NOTAMs)). Coordinate ground stops as necessary. | DOT | DOT-1 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+30 minutes | Activate on call roster of U.S Public Health Service (PHS) Commissioned Corps. | HHS | HHS-4 |
| | | ■ | ■ | ■ | ■ | I+30 minutes | Activate USCG National Strike Force to deploy three 10-person HAZMAT teams. | DHS | DHS-12 |
| ■ | | | | ■ | ■ | I+30 minutes | Initiate actions to immediately deploy 51030 cots. | DHS | DHS-13 |

Domestic JTF Commander Handbook

| NH = Natural Hazards, C = Chemical, B = Biological, R = Radiological, N = Nuclear, E = High-Explosive Incident Type | | | | | | Initiation Time (no later than) | Action | Responsible Agency / Support Agency | Action Identification |
|--|---|---|---|---|---|---------------------------------|---|-------------------------------------|-----------------------|
| NH | C | B | R | N | E | | | | |
| ■ | | | ■ | ■ | | I+30 minutes | Initiate actions to immediately deploy 25515 blankets. | DHS | DHS-14 |
| ■ | | | ■ | ■ | | I+30 minutes | Initiate actions to immediately deploy 306,432 emergency heater meals. | DHS | DHS-15 |
| ■ | | | ■ | ■ | | I+30 minutes | Initiate actions to immediately deploy 17,010 toilet kits. | DHS | DHS-16 |
| ■ | | | ■ | ■ | | I+30 minutes | Not Used | DHS | DHS-17 |
| ■ | | | ■ | ■ | | I+30 minutes | Initiate actions to immediately deploy 50,000 personal wash kits. | DHS | DHS-18 |
| ■ | | | ■ | ■ | | I+30 minutes | Initiate actions to immediately deploy 50,000 personal hygiene kits. | DHS | DHS-19 |
| ■ | | | ■ | ■ | | I+30 minutes | Not Used | DHS | DHS-20 |
| ■ | | | | | | I+30 minutes | Not Used | DHS | DHS-21 |
| ■ | | | ■ | ■ | | I+30 minutes | Initiate actions to immediately deploy 180,000 liters of bottled water. | DHS | DHS-22 |
| ■ | | | ■ | ■ | | I+30 minutes | Not Used | DHS | DHS-23 |
| ■ | | | ■ | ■ | | I+30 minutes | Not Used | DHS | DHS-24 |
| ■ | | | ■ | ■ | | I+30 minutes | Initiate actions to immediately deploy 400,000 pounds of ice. | DHS | DHS-25 |
| ■ | | | ■ | ■ | | I+30 minutes | Not Used | DHS | DHS-26 |
| ■ | | | ■ | ■ | ■ | I+30 minutes | Not Used | DHS | DHS-27 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+40 minutes | Conduct interagency conference call and develop initial communications strategy and plan. | DHS | DHS-28 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+45 minutes | Activate the American Association of Blood Banks Interorganizational Task Force on Domestic Disasters and Acts of Terrorism (AABB Task Force) to assess current blood supply levels throughout the country. | HHS/ARC | HHS-5 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+1 hour | Designate a PFO, who will assemble a support staff and deploy to the affected area as soon as possible. | DHS | DHS-29 |

Domestic JTF Commander Handbook

| NH = Natural Hazards, C = Chemical, B = Biological, R = Radiological, N = Nuclear, E = High-Explosive Incident Type | | | | | | Initiation Time (no later than) | Action | Responsible Agency / Support Agency | Action Identification |
|--|---|---|---|---|---|---------------------------------|--|-------------------------------------|-----------------------|
| N H | C | B | R | N | E | | | | |
| ■ | ■ | ■ | ■ | ■ | ■ | I+1 hour | Designate Federal staging areas inside incident area (forward of Federal Mobilization Center).. | DHS | DHS-30 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+1 hour | Initiate deployment actions for one (1) NDMS Management Support Team (MST) and equipment cache. | DHS | DHS-31 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+1 hour | Activate Rapid Response Victim Registry. | HHS | HHS-6 |
| | | | | | | I+1 hour | | | |
| ■ | ■ | ■ | ■ | ■ | ■ | I+1 hour | Activate the National Disaster Medical System (NDMS). | DHS | DHS-32 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+1 hour | Initiate actions to deploy Federal Air Marshals to affected airports. | DHS | N/A |
| ■ | ■ | | ■ | ■ | ■ | I+1 hour | Activate the patient movement portion of the NDMS. | DHS HHS VA DoD DOT | M-1 |
| ■ | ■ | ■ | ■ | ■ | | I+1 hour | Coordinate stoppage of all non-critical cargo and passenger rail, maritime, and highway transportation into incident area. | DOT | DOT-2 |
| ■ | ■ | ■ | ■ | ■ | | I+1 hour | Provide initial HHS-coordinated public service announcement. Coordinate and issue follow-on announcements at frequent and regular intervals. | DHS | DHS-33 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+1 hour | DHS Secretary makes first senior Federal announcement of incident and response effort. | DHS | DHS-34 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+1 hour | Activate Hospital Asset Reporting and Tracking System (HARTS). | HHS | HHS-7 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+1 hour | Activate a National Joint Information Center (JIC) to coordinate all response-related press and media affairs. | DHS | DHS-35 |
| | | | ■ | ■ | | I+1 hour | Release updated nuclear/radiological incident advice to general public. | DHS | DHS-36 |
| | ■ | ■ | ■ | ■ | | I+1 hour | Activate Public Affairs surge plans. | DHS | DHS-37 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+1½ hours | Initiate establishment of a Joint Information Center (JIC) at incident site. | DHS | DHS-38 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+1½ hours | Release updated incident and information statement to general public. | DHS | DHS-39 |

Domestic JTF Commander Handbook

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|---|----------|----------|----------|----------|----------|--|--|--|------------------------------|
| N | H | C | B | R | N | E | | | |
| ■ | ■ | ■ | ■ | ■ | ■ | ■ | Commence transportation of Execution Schedule Assets (refer to Annex 2, Table 2-1). | DOT | DOT-3 |
| | | | ■ | ■ | | | Activate Department of Energy (DOE) Nuclear Incident Team (NIT) at DOE Emergency Operations Center (EOC). | DOE | DOE-1 |
| | | | ■ | ■ | | | Deploy Radiological Assistance Program (RAP) Teams. | DOE | DOE-2 |
| ■ | ■ | ■ | ■ | ■ | ■ | ■ | Activate all Red Cross disaster response functions. | ARC | ARC-1 |
| ■ | ■ | ■ | ■ | ■ | | | Inventory existing available shelter space within a radius of 250 miles using National Shelter System, Inventory national ARC food supply stockpiles, vendors and their locations; initiate movement to staging areas. | ARC | ARC-2 |
| ■ | ■ | ■ | ■ | ■ | ■ | ■ | Dispatch the Red Cross (Internal) Critical Response Team (CRT) to safe area near affected area(s) to assist with initial national response efforts. | ARC | ARC-3 |
| ■ | ■ | ■ | ■ | ■ | ■ | ■ | Ensure coordination on mass care actions initiated by local and state response entities and determine additional resources needed to provide necessary services. (Ongoing) | ARC | ARC-4 |
| ■ | ■ | ■ | ■ | ■ | ■ | ■ | Activate WMD Response Guidelines for all national HQ units, to include Biomedical Services Operations Center for blood coordination for terrorism incidents. | ARC | ARC-5 |
| ■ | ■ | ■ | ■ | ■ | ■ | ■ | Place entire Red Cross Emergency Response Vehicles (ERVs) fleet on standby for deployment to provide mobile feeding. | ARC | ARC-6 |
| ■ | ■ | ■ | ■ | ■ | ■ | ■ | Coordinate with Red Cross Disaster Field Supply Centers to begin movement of 50,000 cots and 100,000 blankets to affected area(s). | ARC | ARC-7 |
| ■ | ■ | ■ | ■ | ■ | ■ | ■ | Coordinate with national voluntary organizations and non-Governmental organization (NGO) partners to provide personnel and equipment to support response activities. | ARC | ARC-8 |

Domestic JTF Commander Handbook

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|---|---|---|---|---|---|---------------------------------|---|-------------------------------------|-----------------------|
| N H | C | B | R | N | E | | | | |
| ■ | ■ | ■ | ■ | ■ | ■ | 1+2 hours | Deploy Red Cross and Southern Baptist kitchens and other mobile feeding units to Staging Areas, once identified in safe area. | ARC | ARC-9 |
| x | x | x | x | x | x | 1+2 hours | Initiate increased Disaster Safe website activities for "Safe and Well" program | ARC | ARC-10 |
| x | x | x | x | x | x | 1+2 hours | Request Medical Reserve Corps (MRC) support from HHS for shelter support | ARC | ARC-11 |
| x | x | x | x | x | x | 1+2 hours | Red Cross Staffing Center activates all standby leadership teams and mounts organization wide recruitment and movement activity | ARC | ARC-12 |
| ■ | ■ | ■ | ■ | ■ | ■ | 1+2 hours | Activate and deploy Pre-positioned Equipment Program Teams. | DHS | DHS-40 |
| ■ | ■ | ■ | ■ | ■ | ■ | 1+2 hours | Initiate deployment actions for ERT-N Joint Field Office (JFO) equipment and support kits. | DHS | DHS-41 |
| | | | | | | 1+2 hours | Not Used | DHS | DHS-42 |
| ■ | ■ | ■ | ■ | ■ | ■ | 1+2 hours | Not Used | DHS | DHS-43 |
| | ■ | | ■ | ■ | ■ | 1+2 hours | Determine if decontamination technical assistance resources have been requested and are engaged. | DHS | DHS-44 |
| | ■ | ■ | ■ | ■ | ■ | 1+2 hours | Obtain preliminary estimate of the number of victims exposed to toxic/hazardous substance(s), preliminary material identification, and source containment. | DHS | DHS-45 |
| ■ | ■ | ■ | ■ | ■ | ■ | 1+2 hours | Coordinate with the AABB Task Force to identify supply levels at the supporting medical facilities for the incident. Activate supply distribution plans for affected region(s). | HHS/ARC | HHS-8 |
| ■ | ■ | ■ | ■ | ■ | ■ | 1+2 hours | Activate links to the private sector (e.g., secure CEO COMLINK) and request them, as appropriate, to inventory and identify available transportation assets, potential mass shelter facilities, and medical facilities, personnel, equipment, and supplies. | DHS | DHS-46 |
| | | | | ■ | | 1+2 hours | Activate Continuity of Operations (COOP) Plans (if incident attributed to terrorism). | ALL | A-3 |

Domestic JTF Commander Handbook

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|---|----------|----------|----------|----------|----------|--|---|--|------------------------------|
| N | H | C | B | R | N | E | | | |
| ■ | | ■ | ■ | ■ | ■ | ■ | Initiate deployment actions for Defense Coordinating Officer (DCO) and supporting Defense Coordinating Element (DCE) to JFO or Initial Operating Facility (IOF). | DoD | DoD-1 |
| | | ■ | | ■ | ■ | ■ | Determine zones and boundaries of contamination and advise all response entities. | DHS | DHS-47 |
| ■ | | ■ | ■ | ■ | ■ | ■ | Convene the NDMS Medical Interagency Coordination Group (MIACG) to determine which FCCs will be activated | DHS HHS VA DoD | M-2 |
| ■ | | ■ | ■ | ■ | ■ | ■ | Send qualified representatives to staff the DRG and/or other interagency EOCs (e.g., Strategic Information and Operations Center, NOC-NRCC, etc.), as rostered or directed. | ALL | A-4 |
| ■ | | ■ | ■ | ■ | ■ | ■ | Review all cargo and passenger aviation activities within the Agency's operational control. Inventory and make available cargo and passenger aviation assets. Report availability to the MCB in the NOC-NRCC. | ALL | A-5 |
| ■ | | ■ | ■ | ■ | ■ | ■ | Provide assessment of transportation system and infrastructure to NOC and NOC-NRCC. | DOT | DOT-4 |
| ■ | | ■ | ■ | ■ | ■ | ■ | Alert and initiate deployment actions for ESF#3, ESF#12 teams and assets (water, power, debris, housing, ice, deployable tactical operations system). | USACE | USACE-1 |
| | | | | ■ | ■ | ■ | Deploy Aerial Measurements System (AMS). | DOE | DOE-3 |
| | | | | ■ | ■ | ■ | Initiate deployment actions for Nuclear Radiological Advisory Team (NRAT). | DOE | DOE-4 |
| | | | | ■ | ■ | ■ | Activate FRMAC and deploy Consequence Management Response Team. | DOE | DOE-5 |
| | | ■ | ■ | ■ | ■ | ■ | Initiate deployment actions for National Medical Response Team (NMRT). | DHS | DHS-48 |
| ■ | | | | | | ■ | Activate and initiate deployment actions for field survey support team and remote sensing aircraft to incident area. | DOC | DOC-1 |

Domestic JTF Commander Handbook

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|---|----------|----------|----------|----------|----------|--|---|--|------------------------------|
| N | H | C | B | R | N | E | | | |
| ■ | | ■ | | ■ | ■ | | I+4 hours Obtain Assistant Secretary for Health (ASH) approval for the AABB Task Force coordinated public information announcement regarding the adequacy and safety of the Nation's blood supply. | HHS | HHS-9 |
| | | ■ | | ■ | ■ | | I+4 hours Alert HQ Joint Task Force (JTF-HQ) and designated Initial Entry Forces (IEFs). Be prepared to deploy Command Assessment Element (CAE) to provide rapid mission assessment in coordination with Federal authorities. Identify key IEF capabilities as required based on assessment and coordination with DHS. | DoD | DoD-2 |
| ■ | | ■ | | ■ | ■ | | I+4 hours Initiate/expedite actions to establish a JFO. NOC-NRCC and RRCC coordinate JFO size and develop requirements. | DHS | DHS-49 |
| ■ | | ■ | | ■ | ■ | | I+4 hours Assess requirements for facility/environmental decontamination. | EPA | EPA-1 |
| ■ | | ■ | | ■ | ■ | | I+4 hours Initiate deployment actions for the HHS SERT. | HHS | HHS-10 |
| | | ■ | | ■ | ■ | | I+6 hours Initiate deployment actions for three (3) NDMS Disaster Medical Assistance Teams (DMATs). | DHS | DHS-50 |
| | | ■ | | ■ | ■ | | I+6 hours Initiate deployment actions for three (3) NDMS DMAT equipment caches. | DHS | DHS-51 |
| | | | ■ | | | | I+6 hours Initiate deployment actions for EIS officers and other staff to support epidemiological investigations. | HHS | HHS-11 |
| ■ | | ■ | | ■ | ■ | | I+6 hours Initiate deployment actions for food safety inspectors. | HHS | HHS-12 |
| | | ■ | | ■ | ■ | | I+6 hours Update estimates/actual reporting of number of victims. | HHS | HHS-13 |
| ■ | | ■ | | ■ | ■ | | I+6 hours Initiate action planning for facility/environmental decontamination. | EPA | EPA-2 |
| ■ | | ■ | | ■ | ■ | | I+6 hours Update status of transportation system and provide emergency transportation management recommendations to DHS. Continue updates as necessary. | DOT | DOT-5 |
| | | ■ | | ■ | ■ | | I+6 hours Ascertain extent of success of initial/gross decontamination and containment activities. | DHS | DHS-52 |

Domestic JTF Commander Handbook

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|---|----------|----------|----------|----------|----------|--|---|--|------------------------------|
| N | H | C | B | R | N | E | | | |
| ■ | | ■ | | ■ | ■ | | I+6 hours Inventory and identify (to ESF-7) all large-space facilities/structures within 250 miles of the incident venue(s) that could be made available as temporary shelters, temporary morgues, or to support mass casualty medical operations. | ALL | A-6 |
| | | ■ | | ■ | ■ | | I+6 hours Ascertain extent of contaminated victim access to medical treatment facilities and impact on operational status. | DHS HHS | M-3 |
| | | ■ | | ■ | ■ | | I+6 hours Assess local emergency public information activities regarding victim decontamination and engage consultation if adjustments appear necessary. | DHS | DHS-53 |
| ■ | | ■ | | ■ | ■ | | I+6 hours Verify need for additional monitoring equipment at medical treatment facilities and shelters and ensure necessary logistics actions are initiated. | DHS | DHS-54 |
| ■ | | ■ | | ■ | ■ | | I+12 hours Initiate deployment actions for on-call roster of PHS Commissioned Corps. | HHS | HHS-14 |
| | | ■ | ■ | | | | I+12 hours Identify laboratories that could be used to support diagnostic activity for agent of concern. | ALL | A-7 |
| ■ | | ■ | | ■ | ■ | | I+12 hours Inventory and report on (to the NOC-NRCC) the availability and functionality status of all Plan-supporting teams and resources. Identify any deficiencies or limiting factors in planned capability. | ALL | A-8 |
| ■ | | ■ | | ■ | ■ | | I+12 hours Activate all PHS Commissioned Corps rosters. | HHS | HHS-15 |
| ■ | | ■ | | ■ | ■ | | I+12 hours Request NDMS bed count to determine NDMS hospital bed availability. | DHS HHS VA DoD | M-4 |
| | | ■ | ■ | ■ | ■ | | I+12 hours Initiate deployment actions for two (2) NDMS NMRTs. | DHS | DHS-55 |
| | | ■ | ■ | ■ | ■ | | I+12 hours Initiate deployment actions for two (2) NDMS NMRT equipment caches. | DHS | DHS-56 |
| ■ | | ■ | | ■ | ■ | | I+12 hours Initiate deployment actions for two (2) NDMS Veterinary Medical Assistance Teams (VMATs). | DHS | DHS-57 |

Domestic JTF Commander Handbook

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|---|----------|----------|----------|----------|----------|--|--|--|------------------------------|
| N | H | C | B | R | N | E | | | |
| ■ | ■ | ■ | ■ | ■ | ■ | I+16 hours | Locate owners of, and available apartments in Federally funded multifamily housing to provide shelter to emergency response personnel proximal to the incident venue. Report to HUD. | ALL | A-9 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+18 hours | NDMS hospitals prepare to begin receiving evacuated patients from affected areas. | DHS HHS VA DoD | M-5 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+18 hours | Initiate deployment actions for Specialized Response Team provide technical assistance to incident safety officer. | DOL | DOL-1 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+24 hours | Initiate deployment of Transportation Security Forward Team (Transportation Security Officers) if required by the TSAT. | DHS | |
| ■ | ■ | ■ | ■ | ■ | ■ | I+24 hours | Initiate deployment actions for eleven (11) NDMS DMATs. | DHS | DHS-58 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+24 hours | | | |
| ■ | ■ | ■ | ■ | ■ | ■ | I+24 hours | Activate and initiate deployment actions for eleven (11) NDMS DMAT equipment caches. | DHS | DHS-59 |
| | ■ | ■ | ■ | ■ | ■ | I+24 hours | Activate and initiate deployment actions for two (2) NDMS DMORT deployable morgue units. | DHS | DHS-60 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+24 hours | Activate and initiate deployment actions for one (1) full NDMS MST equipment cache. | DHS | DHS-61 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+24 hours | Release public messages providing information on how to apply for individual assistance. | DHS | DHS-62 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+24 hours | Assess short-term medical treatment needs of incident area population and evacuees. | HHS DHS | M-7 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+24 hours | Primary Receiving Centers (PRCs) within 500 miles of an incident venue prepare to terminate non-critical medical services and redirect available resources for receipt of patients at VA medical facilities. | VA | VA-1 |
| ■ | | | ■ | ■ | | I+24 hours | Not Used | DHS | DHS-63 |
| ■ | | | ■ | ■ | | I+24 hours | Initiate actions to deploy 25515 additional blankets. | DHS | DHS-64 |

Domestic JTF Commander Handbook

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|--|---|---|---|---|---|---------------------------------|---|-------------------------------------|-----------------------|
| NH | C | B | R | N | E | | | | |
| ■ | | | ■ | ■ | | I+24 hours | Initiate actions to deploy an additional 153,216 emergency meals. | DHS | DHS-65 |
| ■ | | | ■ | ■ | | I+24 hours | Not Used | DHS | DHS-66 |
| ■ | | | ■ | ■ | | I+24 hours | Not Used | DHS | DHS-67 |
| ■ | | | ■ | ■ | | I+24 hours | Not Used | DHS | DHS-68 |
| ■ | | | ■ | ■ | | I+24 hours | Not Used | DHS | DHS-69 |
| ■ | | | ■ | ■ | | I+24 hours | Initiate actions to deploy 3000 additional tents (6-8 person). | DHS | DHS-70 |
| ■ | | | | | | I+24 hours | Initiate actions to deploy 25,000 plastic sheeting 20'x100' | DHS | DHS-71 |
| ■ | | | ■ | ■ | | I+24 hours | Initiate actions to deploy an additional 180,000 liters of bottled water. | DHS | DHS-72 |
| ■ | | | ■ | ■ | | I+24 hours | Initiate actions to deploy two (2) 50 packs generators | DHS | DHS-73 |
| ■ | | | ■ | ■ | | I+24 hours | Not Used | DHS | DHS-74 |
| ■ | | | ■ | ■ | | I+24 hours | Initiate actions to deploy an additional 400,000 pounds of ice | DHS | DHS-75 |
| ■ | | | ■ | ■ | | I+24 hours | Initiate actions to deploy an additional (34) 250 person Pre Positioned Disaster Supply containers. | DHS | DHS-76 |
| ■ | | | ■ | ■ | | I+24 hours | Not Used | DHS | DHS-77 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+36 hours | Initiate patient evacuation. Establish Federal patient movement through DoD TRAC2ES system. | DHS HHS DoD GSA DOT | M-8 |
| | ■ | ■ | ■ | ■ | ■ | I+36 hours | Begin backfill of medical support packages from Strategic National Stockpile. | HHS | HHS-16 |
| ■ | ■ | ■ | ■ | ■ | | I+36 hours | Devise a national animal, plant, and health surveillance plan. | HHS/USDA | USDA-2 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+48 hours | Initiate deployment actions for veterinary team to evaluate situation. | USDA | USDA-3 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+48 hours | Determine animal/livestock disposal options. | USDA | USDA-4 |
| ■ | | | ■ | ■ | | I+48 hours | Not Used | DHS | DHS-78 |
| ■ | | | ■ | ■ | | I+48 hours | Initiate actions to deploy 25515 additional blankets. | DHS | DHS-79 |

Domestic JTF Commander Handbook

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|--|---|---|---|---|---|---------------------------------|--|-------------------------------------|-----------------------|
| NH | C | B | R | N | E | | | | |
| ■ | | | ■ | ■ | | I+48 hours | Initiate actions to deploy an additional 153,216 emergency meals. | DHS | DHS-80 |
| ■ | | | ■ | ■ | | I+48 hours | Not Used | DHS | DHS-81 |
| ■ | | | ■ | ■ | | I+48 hours | Not Used | DHS | DHS-82 |
| ■ | | | ■ | ■ | | I+48 hours | Initiate actions to deploy 50,000 additional personal wash kits. | DHS | DHS-83 |
| ■ | | | ■ | ■ | | I+48 hours | Not Used | DHS | DHS-84 |
| ■ | | | ■ | ■ | | I+48 hours | Not Used | DHS | DHS-85 |
| ■ | | | | | | I+48 hours | Initiate actions to deploy an additional 25,000 rolls of plastic sheeting (20x100). | DHS | DHS-86 |
| ■ | | | ■ | ■ | | I+48 hours | Initiate actions to deploy an additional 180,000 liters of bottled water. | DHS | DHS-87 |
| ■ | | | ■ | ■ | | I+48 hours | Initiate actions to deploy an additional two (2) 50 packs of generators. | DHS | DHS-88 |
| ■ | | | ■ | ■ | | I+48 hours | Not Used | DHS | DHS-89 |
| ■ | | | ■ | ■ | | I+48 hours | Initiate actions to deploy an additional 400,000 lbs of ice. | DHS | DHS-90 |
| ■ | | | ■ | ■ | | I+48 hours | Initiate actions to deploy an additional (34) 250 person Pre Positioned Disaster Supply PPDS Containers. | DHS | DHS-91 |
| ■ | | | ■ | ■ | | I+48 hours | Initiate actions to deploy additional 50,000 personal hygiene kits | DHS | DHS-92 |
| x | x | x | x | x | x | I+72 hours | Determine need for evacuation of affected population out of impacted area to shelters in other states | FEMA/ARC/HHS/DOT | ARC-13 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+72 hours | Initiate deployment actions for all PHS Commissioned Corps rosters. | HHS | HHS-17 |
| | ■ | ■ | ■ | ■ | ■ | I+72 hours | Begin backfill of Pre-Positioned Disaster Supplies (PPDS) containers. | DHS | DHS-93 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+72 hours | Activate <u>all</u> PHS Commissioned Corps deployable assets. | HHS | HHS-18 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+72 hours | Develop crisis-counseling plan. | DHS | DHS-94 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+72 hours | Assess and quantify projected housing needs. | DHS | DHS-95 |

Domestic JTF Commander Handbook

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|---|---|---|---|---|---|---------------------------------|---|-------------------------------------|-----------------------|
| Incident Type | | | | | | | | | |
| NH | C | B | R | N | E | | | | |
| ■ | ■ | ■ | ■ | ■ | | I+96 hours | Determine animal/livestock treatment. | USDA | USDA-5 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+96 hours | Initiate actions to deploy an additional 153,216 emergency meals. | DHS | DHS-96 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+96 hours | Initiate actions to deploy 25,515 blankets | DHS | DHS-97 |
| ■ | | | ■ | ■ | | I+72 hours | Initiate actions to deploy an additional 180,000 of bottled water | DHS | DHS - 98 |
| ■ | | | ■ | ■ | | I+72 hours | Not Used | DHS | DHS – 99 |
| ■ | | | ■ | ■ | | I+72 hours | Initiate actions to deploy an additional 400,000 pounds of ice | DHS | DHS – 100 |
| ■ | | | ■ | ■ | | I+72 hours | Initiate actions to deploy an additional (34) 250 – Pre Positioned Disaster Supply (PPDS) Containers. | DHS | DHS – 101 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+72 hours | Initiate deployment actions for Emergency Temporary Housing Units into affected area | DHS | DHS – 102 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+96 hours | Develop preliminary temporary housing plan | DHS | DHS – 103 |
| ■ | ■ | ■ | ■ | ■ | ■ | I+96 hours | Develop donations strategy and voluntary agency plan | DHS | DHS - 104 |

Domestic JTF Commander Handbook

19.12 Oregon National Guard Military Support to Civil Authority Rules for the Use of Force Card

Arming Orders (AO): As directed by the Adjutant General under lawful order of the Governor of Oregon

| Weapon | | | | |
|--------------|-------------------------------|-----------|------------------|--------|
| Arming Order | Rifle/Pistol | Ammo | Chamber | Safety |
| AO-B | Baton Only | None | N/A | N/A |
| AO-1 | Sling/ Arms-Holstered | In Pouch | Empty | On |
| AO-2 | Port or Sling/ Arms Holstered | In Weapon | Empty | On |
| AO-3 | Port/ Port-Holstered | In Weapon | Round in Chamber | On |

Use of Force: Use the minimum force necessary for the mission.

Guardsman Presence and Verbal Compliance: Using speech and presence to establish an “Air of Authority”, maintaining the professional bearing necessary to keep from escalating a situation. You may otherwise be authorized to prevent action by barricading access.

Physical Force: (non-deadly) may be used when necessary to prevent or stop theft, destruction of property, injury to persons or to detain subjects.

Deadly Force: Deadly force may be used only when necessary:

To Defend yourself or someone else from an act or the threat of death, serious physical injury or permanent disfigurement.

To apprehend someone who is threatening death or serious injury.

To prevent the escape of a person from custody who is threatening or has caused serious injury as a means of escape.

Deadly force may not be used solely to prevent the damage or loss of property not designated as vital to public health and safety.

Warning shots will not be used. Full automatic fire will not be used.

In the event of sniper fire, take cover and call for help. Return fire only if the sniper is a clear target and there is no danger to bystanders.

Riot control agents will be used only when directed by a police officer or under conditions that permit the use of deadly force. Pepper spray will only be used under conditions that permit the use of physical force.

SPECIAL ORDERS:

I will carry out my assigned duties in a military manner and present a neat military appearance at all times. I will be sure that everything I do reflects credit upon my governor, my military service, my unit and myself.

I will have regard for the human rights of all persons. I will be as courteous toward civilians as possible under the circumstances. I will not mistreat anyone or withhold medical attention from anyone needing it. I will not damage property unnecessarily.

I will use only the minimum amount of force required to accomplish my mission and, if necessary, to defend others and myself. When under the control of an officer, I will load or fire my weapon only upon order. When not under the control of an officer I will load or fire my weapon only when required to protect my own life or the lives of others, to protect specified property designated as vital to the public health and safety, or to prevent the escape of persons endangering human life. I am not authorized to use firearms to prevent offenses that are not likely to cause death or serious bodily harm, not endanger public health or safety.

As much as possible, I will let civilian police arrest lawbreakers. But, when assistance is necessary, or in the absence of civil police, I have the duty and the authority to detain lawbreakers. I will deliver such persons to the police or other designated authorities as soon as possible. I will cooperate fully with the police by safeguarding evidence and completing records as instructed.

I will allow properly identified news reporters freedom of movement, as long as they do not interfere with the mission of my unit.

I will not talk about this operation or pass information or rumors about it to unauthorized persons. I will refer all civilians who ask for information about what I am doing to my leaders.

Domestic JTF Commander Handbook

19.13 Oregon National Guard Spot Intelligence Report (SPIREP)

1. From: (Unit and Location)
2. Spot Report No.: (AOR/LNO locally assigned number) and date/time group.
3. Date/Time group and location.
4. Subject: (Nature of Emergency).
5. Reference to previous report (follow-on report).
6. Personnel: (Civilian/military, organizations or installations involved).
7. Source of information.
8. Evaluation of source of information (reliable, unreliable, questionable).
9. Time and date information was received by reporting agency.
10. Significance and/or effect upon military operations.
11. Action taken by reporting agency.
12. Summary.

The following checklist is used as a guide in preparation of the Summary.

- a. Natural/Technological Disasters
 - (1) Geographical location(s) of affected area
 - (2) Probable and/or possible consequences
 - (3) What disruption of public utilities (communications, transportation, water, electric power, and fuels) has occurred or is expected
 - (4) Military personnel and/or Federal/State property threatened
 - (5) Number of casualties
 - (6) Evidence of disorder or hysteria among the populations, if any?
 - (7) Degree to which civilian agencies have committed their resources
- b. Civil Disturbances (The following items are to be gathered from liaison with local civilian law enforcement agencies, not through direct military observation.)
 - (1) Geographical location and limits of affected area
 - (2) Who or what provoked the disturbance
 - (3) Status of dissident activity at time of report
 - (4) Activity of any identified or suspected subversive element (force protection view point)
 - (5) Incidents of friction among any divergent elements involved
 - (6) Approximate number of persons involved (dissident)
 - (7) Number of casualties
 - (8) Damage or likelihood of damage to Federal, State, public or private property
 - (9) Involvement of major manufacturing plants and other large industries
 - (10) Likelihood of further incidents occurring (tension level in area)
 - (11) Ability of civil authorities to handle the situation
 - (12) Probable and possible consequences

Domestic JTF Commander Handbook

19.14 Oregon National Guard Supplemental Priority Intelligence Requirements Questions

The following are lists of questions that the JTF Commander's might want to consider, as well as the appropriate entity (Provost Marshal (PM) or Office of Special Investigation (OSI)) that is responsible for requesting the information from law enforcement agencies.

1. Civil Disturbance
 - a. (PM/OSI) Is a riot or organized violence anticipated?
 - b. (PM/OSI) Estimated number of persons involved?
 - c. (PM/OSI) Where are potential assembly areas for crowds?
 - d. (PM/OSI) Are known leaders and individuals, who are a distinct threat, present and what are they doing?
 - e. (PM/OSI) What methods, techniques, tactics, and weapons are rioters/demonstrators using?
 - f. (PM/OSI) Do they have access to sewers, storm drains, and other underground systems?
 - g. (PM/OSI) Civil agency in charge of disturbance operations?
 - h. (PM/OSI) Attitude of general populace toward rioters, law enforcement and/or military intervention?
 - i. (PM/OSI) What is the threat to public and/or private property, including private utilities?
2. Natural Disasters (Intelligence and/or PM)
 - a. (PM/OSI) Is looting (or rioting) occurring? Where and how much?
 - b. (Intelligence) Is there a need for special logistical support?
3. Terrorist Attack within the United States.
 - a. (PM/OSI) Has a specific group claimed responsibility?
 - b. (PM/OSI) Has the key leaders of the group been identified?
 - c. (PM/OSI) What methods, techniques, tactics and weapons did they use? Have they used them in the past?
 - d. (PM/OSI) What are the chances of another attack?
 - e. (PM/OSI) What measures are being taken to prevent future attacks?
4. Chemical & Biological (CB) Agent Incident
 - a. (PM/OSI for suspected terrorist attack, Intelligence for accidental release) What type of agent & amount?
 - b. (Intelligence) How will weather impact dispersal (wind speed, direction, atmospheric conditions)?
 - c. (Intelligence) What medical countermeasures are available?
 - d. (Intelligence) Are public information channels available for timely alert, notification, warning, and reporting?

Domestic JTF Commander Handbook

19.15 MOA: Mutual Aid for Non-Stafford Act Incidents

| Memorandum of Agreement: Mutual Aid for Incidents of National Significance (Non-Stafford Act) | |
|--|---|
| I. Parties | |
| | The parties to this Memorandum of Agreement (Memorandum) are the Federal departments and agencies listed as signatories to the National Response Plan. |
| II. Authorities | |
| A. | Homeland Security Act of 2002 (6 U.S.C. §101 et seq.). |
| B. | Economy Act (31 U.S.C. §1535). |
| C. | Other Applicable Federal Statutes including, but not limited to: <div><div>1.</div><div>Clean Water Act, as amended (33 U.S.C. § 1321)</div><div>2.</div><div>Oil Pollution Act of 1990 (33 U.S.C. § 2701 et seq.)</div><div>3.</div><div>Comprehensive Environmental Response, Compensation, and Liability Act, as amended (42 U.S.C. § 9601 et seq.)</div><div>4.</div><div>Small Business Act (15 U.S.C. § 631 et seq.)</div><div>5.</div><div>Public Health Service Act (42 U.S.C. 201 et seq.)</div><div>6.</div><div>Reciprocal Fire Protection Act (42 U.S.C. § 1856)</div><div>7.</div><div>Department of Veterans Affairs Emergency Preparedness Act (38 U.S.C. § 1785)</div></div> |
| D. | Homeland Security Presidential Directive-5 (HSPD-5). |
| III. Purpose | |
| | <p>The Federal Government's response to an Incident of National Significance will likely exceed the authority or capabilities of any individual Federal department, agency, or their elements ("Federal agencies"). Coordination and support within and among the Federal agencies is essential to maximize the use of available assets, resources, and expertise under the National Response Plan (NRP) to save lives and to protect property, natural resources, and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States.</p> <p>Recognizing that each Federal agency has different expertise and resources, and plays an important role in responding to Incidents of National Significance, the purpose of this Memorandum is to create a framework for interagency or intra-agency mutual aid for Federal-to-Federal support among participants of the NRP when Federal-to-Federal support is requested and provided in the event of an actual or potential Incident of National Significance that is not declared a major disaster or emergency under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended, 42 U.S.C. §§5121-5206 ("Stafford Act").</p> <p>This Memorandum does not preclude participating Federal agencies from entering into supplementary agreements with other Federal agencies for incidents or events within their respective authorities, nor does it affect any other agreement to which a Federal agency may currently be, or decide to be, a party. This Memorandum does not preclude Federal agencies from requesting or providing assistance on a nonreimbursable basis where authorized.</p> |

Domestic JTF Commander Handbook

A. Operating Assumptions

1. Based on the incident's scope and effect, mutual aid requirements may vary depending on the magnitude and type of event; the stage of the prevention, preparedness, response, or recovery efforts; or the availability of resources, including nonmonetary resources.
2. A Federal entity with primary responsibility and statutory authority for handling an incident (i.e., the requesting agency) that needs support or assistance beyond its normal capabilities may request DHS coordination and facilitation through the NRP.
3. Generally, the requesting agency provides funding for the support consistent with provisions of the Economy Act, unless other relevant statutory authorities exist.
4. DHS coordinates assistance using the multiagency coordination structures in the NRP and in accordance with the National Incident Management System.
5. In accordance with HSPD-5, Federal departments and agencies are expected to provide their full and prompt cooperation, available resources, and support, as appropriate and consistent with their own responsibilities for protecting national security, to the Secretary of Homeland Security in the exercise of responsibilities and missions as the principal Federal official for domestic incident management.

B. Operating Procedures

1. Federal agencies participating in the NRP may request and provide Federal-to-Federal support by executing interagency or intra-agency reimbursable agreements, in accordance with the Economy Act (31 U.S.C. §1535) or other applicable authorities.
2. The Reimbursable Agreement form to be used by Federal agencies requesting support is the Incidents of National Significance Request for Federal-to-Federal Support (see Attachment 3, Tab 1).
3. The period of support for purposes of reimbursement will be as stated in the reimbursable agreements.
4. All Federal entities shall use generally accepted Federal financial principles, policies, regulations, and management controls to ensure proper accountability of their respective funds.

Domestic JTF Commander Handbook

IV. Responsibilities

A. Federal Agencies Requesting Support: Federal agencies requesting mutual aid pursuant to this Memorandum shall be responsible for:

1. Requesting Federal-to-Federal support by executing reimbursable agreements under this agreement. The reimbursable agreements describe work to be performed, date of completion, and funding limitations. The requesting agency is responsible for monitoring the work progress of the supporting agency.
2. In conjunction with its supporting agencies, advising the Federal Resource Coordinator (FRC) of the type of assistance and support requested, from which agencies support has been requested, when the support is provided, and the amount and distribution of funding required in support of the Incident.
3. Overseeing all financial management activities relating to financial operations, ensuring that sound financial management practices and standards are applied, and ensuring that all funds expended are accounted for in accordance with generally accepted accounting principles of the Federal Government.
4. Coordinating requests with OMB and Congress for adequate funding to meet projected expenditures for specific incidents/events, as required.
5. Ensuring expeditious receipt and review of bills or requests for reimbursement for mutual aid provided prior to processing payments, and ensuring that proper documentation supports the expenditures claimed.
6. Reviewing all requests for reimbursement for goods and services from supporting agencies before payment. The requesting agency certifies that the expenditures claimed have been reviewed, are eligible, and are relevant to the request for mutual aid, and that costs are reasonable and supported by proper documentation.
7. Complying with the requirements of the Economy Act or other applicable statutes.

B. Federal Agencies Providing Support: Federal agencies providing reimbursable mutual aid support pursuant to this Memorandum shall be responsible for:

1. Maintaining appropriate documentation that clearly identifies the assistance provided to the requesting agency and supports requests for reimbursement.
2. Notifying the requesting agency when a task is completed or when additional time is required to complete work in advance of the projected completion date.
3. Submitting final reimbursement requests after completing a task. Final bills should be marked "Final."
4. Identifying a staff-level point of contact for financial coordination with other agencies and identifying a Headquarters-level point of contact for billing and reimbursement issues that cannot be resolved at the staff level.
5. Applying proper financial principles, policies, regulations, and management controls to ensure full accountability for expenditures.
6. Complying with the requirements of the Economy Act or other applicable statutes.

Domestic JTF Commander Handbook

V. Reimbursement of Federal Agencies Providing Support

- A. Federal agencies providing mutual aid support under this Memorandum shall request reimbursement from the requesting agency for eligible expenditures. Requests for reimbursement should include a breakdown of charges by budget sub-object class or as otherwise specified by the requesting agency.
- B. Fees for goods or services described in reimbursable agreements are paid from funds cited upon delivery. Payments are made using the Treasury Intra-governmental Payments and Collections (IPAC) system.
- C. All requests for reimbursement must contain adequate documentation to support expenditures claimed as reimbursable. The vehicle used to obligate funds for authorized expenditures of Federal-to-Federal support is the Incidents of National Significance Request for Federal-to-Federal Support.
- D. Federal agencies providing support and receiving reimbursement from the requesting agency for goods or services shall record such funds to the appropriation against which charges were made to fill the order. In accordance with OMB Circular No. A-11, Federal agencies should submit to OMB on the SF-132 an annual estimate of reimbursable budget authority expected to carry out their responsibilities under the NRP.
- E. Advances of funds under Federal-to-Federal support reimbursable agreements shall comply with the business rules set forth in the OMB Memorandum #M-03-01, dated October 4, 2002.
- F. Nothing in this agreement is intended to and does not obligate funds, nor is this agreement to be construed as obligating funds of the parties.

VI. Other Provisions: Nothing herein is intended to conflict with current law or regulation or agency directives of any of the parties. If any terms of this Memorandum are found to be inconsistent with any such authority, then those terms shall be invalid, but the remaining terms and conditions are not affected by the inconsistency and shall remain in full force and effect.

VII. Liability: Each Federal agency shall be liable for the acts and omissions of its own employees to the extent provided by Federal laws or regulations.

VIII. Effective Date: This Memorandum is effective upon signature by the respective signatory Federal agencies.

IX. Modification: This Memorandum may be amended at any time to further its purposes, extended, or renewed by mutual written agreement of the parties. This Memorandum shall be reviewed on a periodic basis, but not less than once every five (5) years.

X. Termination: The terms of this Memorandum, as modified with the consent of all parties, remain in effect indefinitely unless either terminated by (1) mutual written agreement of the respective parties or (2) the giving of thirty (30) days advance written notice by the respective parties. Notwithstanding any termination or withdrawal, the terms of this Memorandum shall remain applicable to any outstanding Reimbursable Agreement.

APPROVED BY:

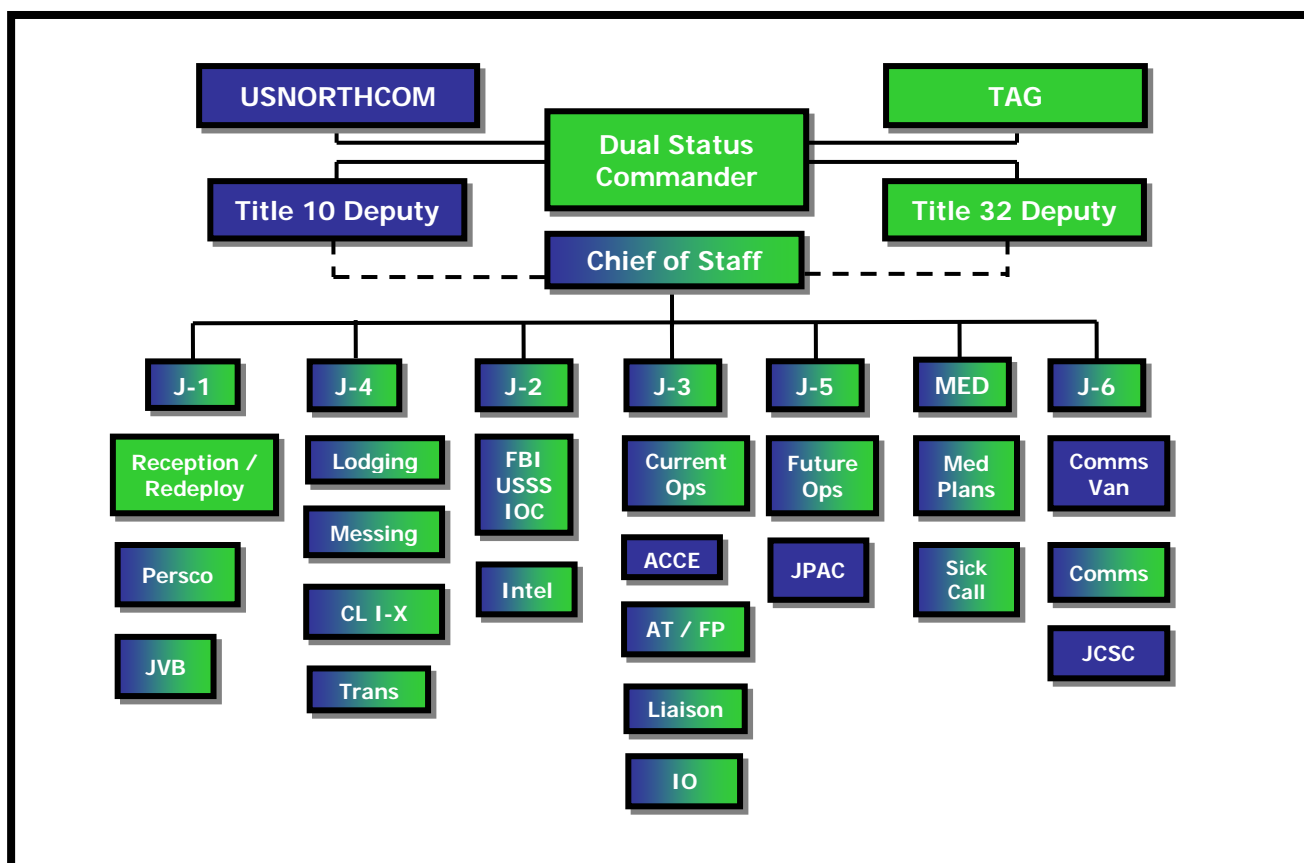
The parties to this Memorandum are the Federal departments and agencies listed as signatories to the National Response Plan.

Domestic JTF Commander Handbook

19.16 Demonstrated Capabilities

19.16.1 Demonstrated Capabilities – Joint Force Headquarters-State

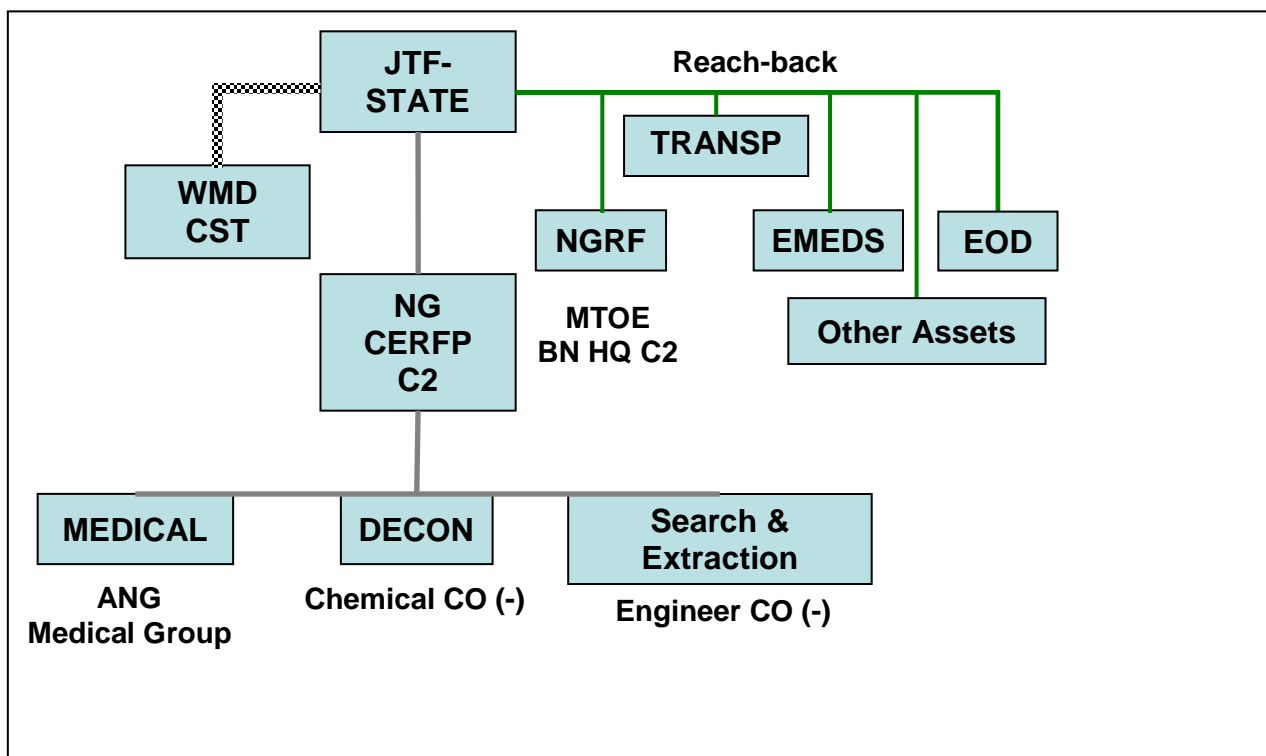
- For the Governor, or in the case of the District of Columbia, the Secretary of the Army: provides C2 links for all NG forces in the state or territory.
- Leverages Joint CONUS Communications Support Environment (JCCSE) C3 capabilities and services to provide situational awareness/common operating picture information to national level headquarters daily or as requested, before, during and after contingency operations.
- Responsible for fielding one or more JTF command elements that can assume tactical control of military units which are ordered to respond to a contingency operation.
- Activates and deploys additional state units requested by the CJTF and, in coordination with Governor, requests other support as required.
- Provides Joint Reception, Staging, Onward Movement, and integration of inbound forces.



Domestic JTF Commander Handbook

19.16.2 Demonstrated Capabilities – JTF State

- The JTF-State may be formed under the Joint Force Headquarters-State to maintain C2 of military forces.
- Includes JTF command element that works closely with the incident CDR to determine if additional NG or other DOD resources are required and ensures they can be safely and effectively employed.
- Adds tailored NG forces deployed to respond to a major incident. These may include:
 - Civil Support Team
 - CBRNE Enhanced Response Force Package
 - Rapid Response Force
 - Medical
 - Communication
 - Aviation
 - Ground Transportation
- If requested by the CCCR and agreed to by the Governor and the President, may also assume tactical control of Active and Reserve military units ordered to respond in support of a CCCR.



Domestic JTF Commander Handbook

19.16.3 Demonstrated Capabilities – NG Response Force (NGRF)

- Traditional unit, pre-designed for quick response on a rotating basis.
- Provides every state a ready combat arms force capable of delivering a company-sized unit in four hours and the remainder of a battalion in 24 hours at the request of the Governor or the President.
- Helps local and state law enforcement agencies by protecting key sites such as power plants and transportation hubs, establishing roadblocks and securing WMD incident sites.
- Missions include, but are not limited to: site security, presence patrols/show of force, establishing roadblocks and/or checkpoints, control civil disturbances, provide force protection/security for WMD-CST, CERFP, and assist in protecting DOD selected critical infrastructure.
- NGRFs perform their mission primarily under the C2 of Governors and their home states.

19.16.4 Demonstrated Capabilities – NGB Counterdrug (CD) Program

- Strategically dispersed aviation and ground assets that provide rapid crisis event response.
- Capable of providing imagery and real time video to enhance principle leadership situational awareness.
- Provides communication capabilities that tie directly into civilian based organizations communications network.
- Enhances overall C2 capabilities
- Historical relationship with law enforcement assists in civil unrest.
- Both air and ground maneuver capability within incident site to save lives and provide C2 to critical locations.

19.16.5 Demonstrated Capabilities – Critical Infrastructure Protection-Mission Assurance Assessments (CIP-MAA)

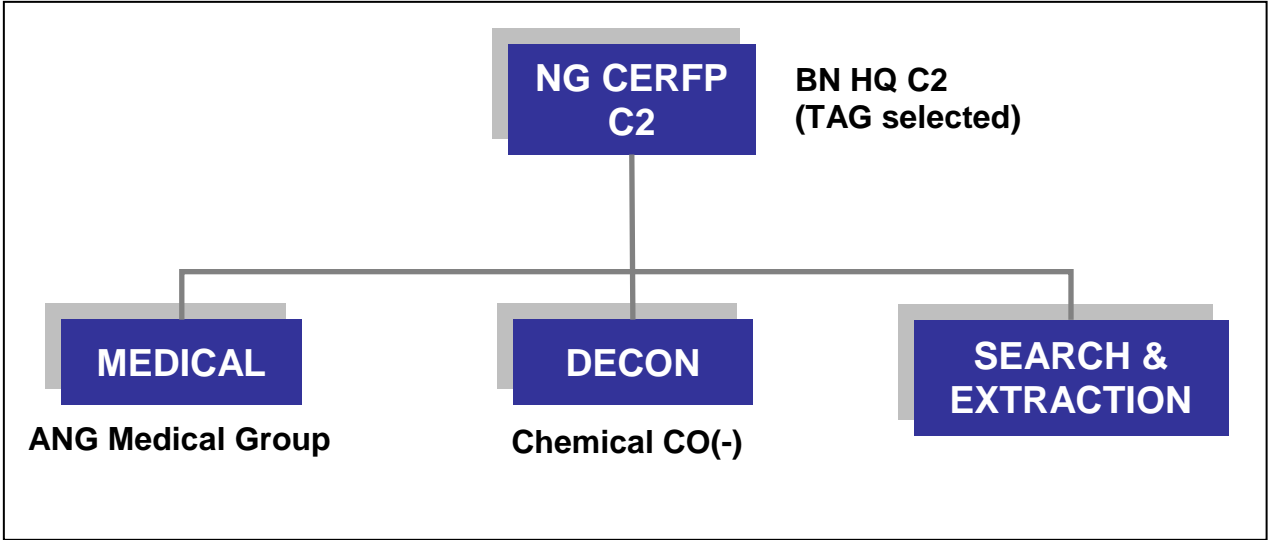
- CIP-MAA Teams are traditional M-Day soldiers and airmen (part-time traditional manning) conducting assessments in an Active Duty Operational Support (ADOS) status.
- Conducts mission assurance assessments on prioritized Defense Industrial Base (DIB) critical infrastructure that facilitate planning for NG direct support for CIP.
- Each detachment consists of nine personnel (6 ARNG and 3 ANG) with the following specialties:
 - emergency management
 - electrical power
 - petroleum, oil, lubricants (POL) and natural gas

Domestic JTF Commander Handbook

- water and HVAC
- security operations
- chemicals
- supporting material services
- transportation
- Currently there are three (3) CIP-MAA Teams in: Colorado, New York, and West Virginia.

19.16.6 Demonstrated Capabilities - CBRNE Enhanced Response Force Package (CERFP)

- Capable of searching an incident site, including damaged buildings, rescuing casualties trapped in rubble, decontaminating them, and performing medical triage and initial treatment to stabilize for transport to a medical facility
- Composed of five elements from NG units:
 - Search and Extraction
 - Decontamination
 - Medical
 - C2
 - Fatality Search and Recovery Team
- Coordinates with the JTF-State and the Incident Commander
- The initial establishment of CERFPs placed at least one in each FEMA Region. Currently, there are 17 CERFPs that cover 78% of the CONUS population within a five hour driving time. When an incident is outside of their state, the JFHQ-State will coordinate with the requesting state under the EMAC.



Domestic JTF Commander Handbook

19.16.7 Demonstrated Capabilities – Weapons of Mass Destruction-Civil Support Team (WMD-CST)

- Supports civil authorities at a CBRNE incident site by identifying CBRNE agents/substances, assessing current and projected consequences, advising on response measures, and assisting with appropriate requests for additional support
- Jointly staffed with 22 full-time ARNG and ANG
- Fourteen military skill sets include:
 - Nuclear Medical Science Officer
 - Physician Assistant
 - Communications/Information Systems NCO
 - CBRN Recon Survey NCO
 - Modeling NCO
- Specialized equipment includes:
 - Communications vehicle called the Unified Command Suite
 - Analytical Laboratory System van with a full suite of chemical, biological, and radiological analysis equipment
 - ADVON Command vehicle with high tech communication

Domestic JTF Commander Handbook

19.17 Lessons Learned Executive Summaries

Vigilant Shield/Positive Response 07 EXECUTIVE SUMMARY

The Vigilant Shield/Positive Response 07 (VS/PR 07) exercise provided the National Guard Bureau staff an opportunity to assess their Mission Essential Functions (MEF) based on terrorist activity and attacks within the United States. The National Guard Bureau (NGB) Joint Staff, the Army National Guard and Air National Guard Staff exercised NGB FUNCPLAN 06-03 at Site Minutemen. The NGB participation in VS/PR 07 exercise identified several successes and deficiencies in planning and execution.

The National Guard Bureau Adaptive Battle Staff (ABS) was activated and showed marked improvement in coordination and communication within the ABS and outside agencies from Ardent Sentry 06 (May 06). The Chief's Executive Board (CEB) was activated for the first time during VS/PR 07 and provided valuable guidance and support to National Guard Senior Leadership resulting in unity of effort between the National Guard Joint, Army, and Air staff's. To increase the CEB's support to senior leadership, it is imperative all appropriate J codes and special/personal staff be present to support and provide situational awareness and recommended courses of action to senior leadership.

NGB Joint, Army National Guard, and Air National Guard Staff Budgetary Support personnel worked well together at Site Minuteman. Through their collective effort, it was identified appropriate contracting and budgetary personnel are needed at Site Minutemen and a review of the funding documentation process must be accomplished.

The importance of a clear common operating picture cannot be over emphasized. The use of Joint Information Exchange Environment (JIEE) and the Joint Operations Environment (JOE) proved to be a valuable tool for the Joint Staff but continued training for the Joint Staff, Army and Air National Guard Staff's should be scheduled and recurring to ensure proficiency with the systems.

Throughout VS/PR 07, the National Guard Staff had little insight into activity of USNORTHCOM forces responding under approved CONPLANS or of appropriate coordination/de-confliction mechanisms between NORAD-NORTHCOM (N-NC) and National Guard forces. To ensure a total coordinated response by Title 10 and National Guards troops, the National Guard needs to fully understand their role in USNORTHCOM CONOPS and must continue to communicate the National Guard role in domestic operations to USNORTHCOM.

The National Guard participation level in this USNORTHCOM sponsored exercise was greater than in previous VS/PR 07 exercises. The National Guard provided substantially more input during the exercise development than in previous exercises to include scenario development, exercise injects, General Officer level participation, and National Guard participation in Video Teleconferencing and reporting to

Domestic JTF Commander Handbook

USNORTHCOM. However, the NGB White Cell was not large enough to support multiple exercise sites and was unable to provide rules of engagement and limitations to exercise participants.

Former President Gerald Ford Funeral – Jan 07 EXECUTIVE SUMMARY

At 2330 hours EST on the 26th of December 2006, the National Guard Bureau (NGB) Joint Operations Center (JOC) was notified former President Gerald Ford had passed away. As defined by the NGB JOC, the funeral was broken into three phases: Phase I in California, Phase II in the National Capital Region, and Phase III in Michigan. At 1720 EST on Saturday, 30 December 2006, former President Gerald Ford arrived at Andrews AFB, Maryland from California. After proceeding to the World War II Memorial, his body was laid in state within the Capitol Rotunda. At 0915 EST on 2 January 2007, former President Ford's remains were taken to the National Cathedral for funeral services. Following the funeral, the body was boarded onto Special Flight 29000 at Andrews AFB, Maryland and arrived at Gerald R. Ford International Airport, Grand Rapids, Michigan at 1610 CST. Former President Ford's remains were taken to The Gerald R. Ford Museum where his body laid in state until traveling to Grace Episcopal Church at 1415 CST on 3 January 2007. Following the final funeral service, the internment was completed at 1600 EST.

Immediate augmentation to the Joint Forces Headquarters – National Capital Region (JFHQ - NCR) by a NGB Liaison Officer, Adaptive Battle Staff (ABS) activation, coordination with local law enforcement, and timely dissemination of information within the National Guard Bureau Joint Staff established an accurate common operating picture. Coordination between the State Funeral Action Officer, NGB J-4 and the NGB Funeral Protocol team was instrumental and note worthy.

However, three areas have been noted as needing improvement: National Guard Bureau Protocol Office failed to provide a trained lead to assume the protocol duties, The White House failed to invite the gubernatorial delegates with sufficient time to attend the Rotunda Arrival Ceremony, and since the gubernatorial delegation was the last party to arrive at the National Cathedral before the official party, their transportation was the last to depart the ceremony in accordance with the U.S. Secret Service outflow plan.

All National Guard tasks were completed with a total of 804 Guardsmen who supported the State Funeral of former President Gerald R. Ford.

NGB LNO PHASE I/ II OBSERVATIONS FOR OPERATION JUMP START Executive Summary – November 2006

The Implementation Plan for National Guard Support To the Department of Homeland Security's Customs and Border Protection At the Southwest Border signed May 22,2006 by the President of

Domestic JTF Commander Handbook

the United States, ". . . authorizing the Secretary of Defense to provide DOD capabilities, primarily from the National Guard, to support the Department of Homeland Security's United States Customs and Border Protection (CBP) in securing and maintaining control of the Southwest Border." Immediately upon mission notification, the National Guard Bureau (NGB), the 54 States/Territories and CBP developed plans to support "Operation Jump Start". The National Guard Bureau Current Operations Group (NGB COG) was activated, Memorandums of Agreement were drafted by National Guard Bureau Judge Advocate and signed by Texas, New Mexico, Arizona, and California (Supported States), and NGB Liaison Officers (LNO's) were deployed to the four Supported States to provide coordination between the NGB COG and the Supported States Joint Operating Center.

Operation Jump Start (OJS) is a two year mission in support of Custom Border Patrol (CBP) commencing July 2006 and terminating July 2008. Operation Jump Start was divided into Phases I -V:

Phase I - (15 to 31 May 2006): Situation Assessment and Preparation; key events include establishment of the Joint Task Force Headquarters, completion of Memoranda of Understanding between supported and supporting states, pre-deployment preparation, and the deployment of advance party elements.

Phase II- (1 June to 14 July 2006): Buildup of Forces; The Joint Task Force will achieve the ability to receive, stage, onward movement, and integrate (RSOI) forces in support of the CBP.

Phase III - (15 July 2006 to 14 July 2007): Sustained Operations; This phase will focus on execution of sustained operations with forces not to exceed 6,000 personnel.

Phase IV – (15 July 2007 to 14 July 2008): Drawdown; reduce National Guard forces below 3,000 personnel and continue transition support activities back to DHS/CBP.

Phase V - (15 July 2008): Transition Completed; end state achieved.

The NGB J-7 Lessons Learned Branch provided a list of questions to the OJS NGB LNO's and provided them the opportunity to clarify or add additional information during interviews upon their return from their mission. The following three main issues have been identified by the NGB LNO's: Inadequate Prior Planning, Common Operating Picture Challenges, and Public Affairs Visibility.

Domestic JTF Commander Handbook

Operation Jump Start – New Mexico Initial Impression Report Executive Summary

This Initial Impressions Report covers only the State of New Mexico and information received from the Border Patrol (BP) sector chief in El Paso, Texas. Operation Jump Start (OJS) is a unique mission within the United States. It is a federally directed homeland security mission in support of federal law enforcement that is being executed at the State level by Title 32 Guardsmen. The precedent for this type of mission was set during the airport security mission following the terrorist attacks of 2001. Early in the planning process it was decided that Title 32 personnel would support, not conduct, law enforcement missions. They are providing direct support for Customs and Border Protection by expanding areas under observation and by handling administrative duties thereby releasing agents to conduct field operations. The guidance from The Adjutant General (TAG) of New Mexico is to “return badges to the border.” From a BP perspective, this mission has effectively and on a daily basis returned 39 agents to duty on the United States-Mexico border in New Mexico, and the engineering effort has put them a year ahead of schedule. In addition, the additional surveillance capability provided through OJS has given BP enhanced operational control of territory along the border and key egress routes.

Upon mobilization, the expectations of both the National Guard (NG) and BP went unfulfilled. BP expected units to arrive, trained and equipped, ready to execute law enforcement missions. NG expected missions and locations to be defined completely. Both were incorrect. The supporting States initially were working hard to meet the “6,000 man” number stated by President Bush and were including units in annual training status that were on site only two weeks. Having no strategic, operational, or tactical mission analysis in place, they deployed with no vehicles, night vision devices, or optics. Later durational forces obtained organic systems (forward looking infrared radar [FLIR], Improved Target Acquisition System, and Avenger) that greatly enhanced the surveillance mission. BP was frustrated when New Mexico NG (NMNG) units refused to apprehend undocumented people crossing the border and focused on the support mission in accordance with the guidance of their TAG.

Command, control, and communications in New Mexico presented many challenges. The Joint Force Headquarters (JFHQ) was struggling to respond to demands for reports from National Guard Bureau (NGB), Army National Guard, and Air National Guard with no standardized reporting system in place. Within the state, the joint operations center (JOC) had excellent communications with the Joint Task Force (JTF) tactical operations center (TOC); also communications between the TOC and the sites was good. The JTF was an ad hoc organization made up of many disparate personnel, which resulted in a lack of standard operating procedures (SOPs) and no standardized reports upon start up. However, at the time of the collect and analysis team (CAAT) visit, these had been developed and were working well. All missions were being executed in a decentralized manner.

Domestic JTF Commander Handbook

Across the board, prior mission planning was weak due to the short timeframe. The impact was missed timelines, confusion about packing lists, incomplete equipment lists, and training shortfalls. However, within 100 days of mission start, OJS in New Mexico settled into a routine. Interagency involvement helped alleviate many misconceptions.

Coordination between the JOC and TOC was working efficiently using telephones, fax machines, e-mail, Internet sites, and video teleconferences but has been hampered by the use of an ad hoc JTF staff vice an active organic unit. There are also shortfalls in BP-NG interface in some sectors. Every sector has different mustering procedures and work hours which poses a challenge for effective information sharing between BP and NG during shift changes.

Safety has been problematic. Southern New Mexico is very remote with a limited road system and immature support capabilities which leads to long travel times from sector headquarters and billeting areas to entry identification team sites. There were 12 privately owned vehicle accidents in the first 20 days of October 2006. The JTF commander appointed an aggressive safety officer and the JTF is developing safety SOPs to counter these statistics. Force protection has been a concern with Guard personnel billeting and subsisting on the local economy. With force protection as the impetus and the JTF commander's desire to reduce contracts and enhance command and control he is establishing a forward operating base (FOB) in Deming to provide force protection; billeting; dining facilities and morale, welfare and recreation.

In response to varying degrees of preparedness of incoming personnel, NMNG instituted a comprehensive training program. Subjects include theater and cultural awareness, military operations on urbanized terrain, rules for the use of force, and confidence training. Combat lifesaver training has spread throughout JTF Zia and has been attended by BP agents. Personnel are being cross trained on all new equipment.

Ground operations have been positively affected by BP's operational support and station support. Knowledge, use and availability of operational equipment has been challenging since no specific requirements were made prior to deployment. Mobility has been hampered by immature roads, flash floods, and the remoteness of the observation sites. Army high mobility multipurpose wheeled vehicles have helped, but the BP vehicles are often unable to follow. Ground operations have been negatively impacted by NMNG's insistence that all Guardsmen on OJS orders attend monthly drills with their parent units. This requirement removes Guardsmen for a minimum of four days with no replacement. It is also in contravention of NGB guidance.

Air operations for surveillance missions have been hampered by lack of aircraft. There are aircraft for distinguished visitor transport and medical evacuation missions. However, at the time of the CAAT visit, there were no helicopters available for surveillance. Five aircraft are being fitted with FLIRs and radios and should be ready for operations in early December. There are many aircraft already outfitted to conduct this mission but they are dedicated to the counternarcotics mission and cannot be used

Domestic JTF Commander Handbook

for OJS. The lack of aircraft was a source of much frustration at every level, and needs to be addressed by Congress.

Engineering operations (building of barriers) have been a major success despite lack of timely planning and equipment availability. The mix of durational and rotational personnel has been effective and BP estimates they are now a year ahead of schedule due to NG support.

Logistics, with the exception of ammunition, is being primarily handled by contracts with local and state vendors. There have been many challenges with the large number of contracts and the remoteness of sites, but the construction of a FOB in Deming should simplify this. In addition, it was strongly recommended to the JTF commander that contracting officers be assigned not only at the state level but also at the JTF level.

Personnel issues, especially during mobilization, have been aggravated by a lack of standardization concerning requirements. Once on scene, the Guardsmen were subjected to an unanticipated law enforcement background check by BP. In future missions supporting law enforcement agencies, National Guard units can anticipate this requirement and conduct it prior to deployment. Also, Army and Air personnel databases are not compatible and do not transfer. Administrative issues such as pass and leave policy, officer and noncommissioned officer (NCO) efficiency reports, and NCO professional development must be addressed during initial planning. OJS in New Mexico saw outstanding chaplain and Red Cross notification support.

Health services have been severely impacted by lack of qualified medical professionals, remoteness of sites, travel distances required, and lack of hard sites to provide care. Additionally, a large number of personnel have recently returned from Iraq or Afghanistan, and some appear to be suffering the effects of post traumatic stress disorder. Health care services must also include mental health professionals who can assist.

Conclusion

OJS within New Mexico overcame early difficulties in planning and execution. They continue to experience "growing pains" as they adjust their operations and those adjustments have been in the positive direction. JTF Zia still lacks equipment and personnel to execute the complete OJS missions. The JTF also lacks comprehensive administrative and personnel policy guidance from NGB coordinated with the supporting and support states. However, the equipment and guidance is being worked at all levels.

The immediate impact of OJS is that very large numbers of undocumented aliens from multiple countries are being deterred intercepted, drug seizures are up, and smugglers are being forced out of their traditional routes by NG observation posts. Commander JTF Zia is working to anticipate their next move and is preparing his unit for that future challenge.

Domestic JTF Commander Handbook

In order to make truly valid observations concerning the overall OJS mission, the Center for Army Lessons Learned, NGB J-7, and the Department of Homeland Security's Lessons Learned Information Sharing need access to the states of Arizona, Texas, and California.

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