



SMITHSONIAN EMERGENCY MANAGEMENT PROGRAM

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1. PURPOSE

This Smithsonian Directive (SD) establishes the institutional policy, basic authorities, and general roles and responsibilities of the Smithsonian Emergency Management Program (SEMP). The SEMP replaces the previous *Disaster Management Program* (DMP) and defines the scope and authority of the Smithsonian's central Emergency Management (EM) function. The SEMP also adopts all phases of the EM Cycle; defines key EM terms and concepts; identifies guiding EM principles and priorities; outlines institutional and unit-level EM roles and responsibilities; distinguishes between standard steady state and emergency operations roles and authorities; and aligns the SEMP with U.S. Government EM guidance and industry best practices. While this SD establishes a standardized approach to EM across the Smithsonian, its strength comes from recognizing the diverse needs of Smithsonian units and providing the flexibility required to allow unit-specific characteristics to guide and shape unit EM efforts, noting there is no "one size fits all" approach.

2. BACKGROUND

This updated SD reflects the Smithsonian Emergency Management Advisory Committee's (SEMAC) six recommendations for improving the Institution's DMP, as presented to the Smithsonian's Under Secretaries in August 2014, and serves as the foundation for

2. BACKGROUND (continued)

implementing those recommendations. Please contact the Smithsonian [Office of Emergency Management \(OEM\)](#) for further information on the recommendations and how they shape and guide Smithsonian EM initiatives.

3. APPLICABILITY

This SD applies to all Smithsonian Institution (SI) employees and all [affiliated persons](#) at SI-owned, leased, or operated facilities.

4. DEFINITIONS/ACRONYMS

The following terms and their meanings are commonly accepted definitions taken from national EM guidance, such as the [National Incident Management System \(NIMS\)](#), [National Response Framework \(NRF\)](#), and the Federal Emergency Management Agency's (FEMA) [Incident Command System \(ICS\) Glossary](#). These terms were not created by the Smithsonian, but have been adopted by the Institution to ensure the use of commonly accepted EM terminology used across the United States. Some of the definitions have been modified to meet the needs of the Smithsonian.

After-Action Report (AAR): A document intended to capture observations of an exercise or response and make recommendations for corrective actions.

All-Hazards: An EM approach that considers the broad range of hazards, whether natural, technological, or human-caused, to encourage an effective and consistent approach to preparing for and responding to emergencies.

Consequence: The potential or actual impact(s) or result(s) of an emergency situation expressed qualitatively or quantitatively, being a loss, injury, disadvantage, or gain.

Corrective Actions: The implementation of procedures and/or measures based on lessons learned from actual incidents or from training and exercises.

Emergency (or "Incident"): Any potential or actual event, whether natural, technological, or human-caused, that threatens life, collections, property, assets, information, operations, and/or the environment, and that requires responsive action to protect against the potential or actual consequences of the event.

4. DEFINITIONS/ACRONYMS (continued)

Emergency Declaration (“Smithsonian State of Emergency”): The determination by the Secretary (or designee) that broader institutional coordination and/or assistance may be needed to supplement the efforts of a Smithsonian unit’s response to an emergency, to include posturing for the management of potential and/or actual consequences. An emergency declaration clearly signals the existence of exigent circumstances that warrant, to varying degrees and as deemed necessary and appropriate, temporary measures related to: the delegation of authority; implementation of an emergency-specific organizational response structure that is different from the day-to-day Smithsonian structure; the use of policy waivers to facilitate emergency operations; and/or the expenditure of funds in accordance with [SD 323, *Use of Funds Handbook*](#). Not all emergencies warrant an emergency declaration.

Emergency Management (EM): The function within an organization charged with managing the framework by which the organization and its components collectively prepare for, respond to, recover from, and mitigate the potential or actual consequences of natural, technological, or human-caused emergencies.

Emergency Operations Center (EOC): The physical location at which the coordination of information and resources to support incident management activities normally takes place. An EOC may be a temporary facility or may be located in a more central or permanently established facility.

Emergency Support Function (ESF): The grouping of capabilities into an organizational structure to provide the capabilities and services most likely needed to manage incidents. The ESF structure provides a mechanism for coordinating activities between units with similar capabilities. The Smithsonian has adopted and tailored the federal ESF structure to meet its needs. Contact the Office of Emergency Management for more information about the Smithsonian ESF structure.

Hazard: Something that is potentially dangerous or harmful, often the root cause of an unwanted outcome. For Smithsonian purposes, a hazard is a natural, technological, or human-caused occurrence, an individual, group or entity, or an action that has or indicates the potential to harm life, collections, property, assets, information, operations, and/or the environment.

Incident Command System (ICS): A standardized approach to the command, control, and coordination of on-scene incident management, providing a common hierarchy within which personnel from multiple units and organizations (internal and external) can be effective. ICS is the combination of procedures, personnel, facilities, equipment, and communications operating within a common organizational structure, designed to aid in the management of on-scene resources during incidents. It is used for all kinds of incidents and is applicable to small as well

4. DEFINITIONS/ACRONYMS (continued)

as large and complex incidents, including planned events. ICS is a component of the National Incident Management System (NIMS).

Incident Management: The broad spectrum of activities and organizations providing effective and efficient operations, coordination, and support, applied at all levels of the Smithsonian, to plan for, respond to, and recover from an incident, regardless of cause, size, or complexity.

National Incident Management System (NIMS): A set of principles that provides a systematic, proactive approach guiding Government agencies at all levels, nongovernmental organizations, and the private sector to work seamlessly to prevent, protect against, 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 or property and harm to the environment.

5. GENERAL ROLES AND RESPONSIBILITIES

This section outlines the general EM roles and responsibilities within the permanent, day-to-day operating structure of the Smithsonian. Roles and responsibilities related to emergency operations, which are on a temporary basis and incident specific, will be addressed later in this document (see page 12, “*Emergency Operations*,” for more information) and in supplemental guidance.

The **Secretary** is the Smithsonian’s ultimate authority for EM and is responsible for establishing the Institution’s EM goals, and for ensuring the Smithsonian takes appropriate actions using all necessary resources to safeguard life, collections, property, assets, information, operations, and/or the environment in SI’s purview. The Secretary also has the authority to declare a Smithsonian State of Emergency. The Secretary may delegate his/her authority for implementing this policy, to include the authority for declaring a Smithsonian State of Emergency, and the authority for carrying out the direct management of Smithsonian EM activities.

The **Chief Operating Officer/Under Secretary for Finance and Administration (COO/USF&A)** and the **Provost and Under Secretary for Museums, Education, and Research (Provost)** are responsible for ensuring EM activities comply with this policy through oversight of Unit Directors under their chain of command. Due to his/her oversight of the core functional offices with defined public safety roles (e.g., Office of Emergency Management, Office of Protection Services), the USF&A is the Secretary’s institutional lead for EM issues. Both Under Secretaries are core members of the Coordination Group (see page 14, “*Emergency Operations Roles and Responsibilities*,” for more information about the Coordination Group).

5. GENERAL ROLES AND RESPONSIBILITIES (continued)

The **Office of Emergency Management (OEM)** is responsible for management and oversight of the Smithsonian Emergency Management Program (SEMP). OEM focuses on institution-level EM issues to ensure the Institution’s ability to manage the potential and actual consequences of emergencies. In doing so, OEM establishes institutional EM policy and guidance, and administers institutional efforts within the four phases of the EM Cycle (see page 7, “*The Emergency Management Cycle*,” for more information). OEM provides coordination and support, and builds and nurtures partnerships with SI units by offering advice and technical assistance, conducting training, supporting exercises, providing templates, and contributing to other forms of collaboration as appropriate.

Directors of SI Museums, Research Centers, and Offices (“Unit Directors”) are responsible for all EM activities within their organization, collectively known as the Unit Emergency Management Program (UEMP), and for ensuring those activities align with institutional EM guidance. Unit Directors fall into one of two “types” of responsibility for EM activities.

Type 1 Unit Directors, in addition to being responsible for the employees and affiliated persons under their supervision, have responsibility for one or more of the following:

- Public spaces
- Collections
- SI-owned or leased facilities

Type 2 Unit Directors do not have responsibility for public spaces, collections, or facilities (whether SI owned or leased), and are primarily responsible for the employees and affiliated persons under their supervision.

The **Unit Operations Section Chief (OSC)** and **Planning Section Chief (PSC)**, when appointed by the Unit Director, serve as the unit’s focal points for general EM matters. Where practical, a single staff member can fulfill both roles. The primary responsibility of the OSC/PSC is to manage the UEMP, on behalf of the Unit Director, promoting preparedness, working with staff to foster a culture of readiness, increasing hazard awareness, coordinating and conducting training and exercises, developing emergency plans and procedures, and working on pertinent unit EM issues. The success of the OSC/PSC depends on the level of support provided by unit leaders and staff, and the establishment of a strong unit EM team to assist with advancing the UEMP (see page 9 for more information about the “*Unit Emergency Management Program (UEMP)*”). The OSC and PSC are the most likely unit members to lead and manage unit emergency operations; however, other unit staff should be identified and trained to perform applicable emergency operations roles.

6. POLICY

Smithsonian Emergency Management Principles and Priorities

The Institution has adopted the following guiding principles.

- Comprehensive — Take into account all hazards, all phases of the Emergency Management Cycle, all stakeholders, and all consequences relevant to emergencies.
- Proactive — Anticipate future emergencies and take preventive and preparatory measures to build an emergency-resistant and resilient Smithsonian.
- Risk-Driven — Use sound risk management (i.e., hazard, vulnerability, and impact analysis) in assigning priorities and resources.
- Integrated — Ensure unity of effort among all Smithsonian units.
- Collaborative — Create and sustain relationships among internal and external stakeholders to encourage trust, foster a team atmosphere, and facilitate communication.
- Coordinated — Synchronize the activities of all relevant stakeholders to achieve a common purpose.
- Flexible — Use creative and innovative approaches in solving EM challenges.
- Professional — Develop a science- and knowledge-based approach based on education, training, experience, ethical practices, public stewardship, and continuous improvement.

In recognizing the diverse needs of Smithsonian units, the SEMP also relies on a scalable approach that accommodates unit-specific demands.

The following **priorities** guide the Smithsonian's approach to EM; specifically, its development of strategies, programs, plans, and procedures; and help prioritize EM efforts at the institution and unit levels:

1. Protect the life, health, and safety of **people** (visitors, employees, contractors, and other affiliated persons).
2. Protect, recover, and stabilize SI **collections** (including living collections), **exhibits**, **research**, and **loaned items**.

6. POLICY (continued)

3. Protect and preserve SI **facilities, properties/grounds, assets, information, and operations.**
4. **Stabilize** the incident and begin **recovery.**

The Emergency Management Cycle

The Smithsonian divides its efforts between the four phases of the Emergency Management Cycle: Preparedness, Mitigation, Response, and Recovery (see Figure 1 on page 8). To help clarify organizational roles and responsibilities within the Smithsonian, it is understood that Preparedness and Mitigation efforts are generally conducted within the standard, day-to-day operating structure of the Institution to enhance resilience and the ability to manage consequences. Response and Recovery are generally considered contingency operations and include the Institution's efforts to stabilize the incident and facilitate the Institution's response and recovery activities, using a temporary incident management structure that is scaled to the needs of the incident.

Preparedness

Preparedness activities ensure the Smithsonian is capable of responding to and managing the potential consequences of natural, technological, and human-caused emergencies. They include, but are not limited to, promoting hazard awareness; developing policies, plans, and procedures; conducting training and exercises; and performing analyses and assessments (e.g., risk assessment). Preparedness activities typically represent the bulk of activities within an EM program and are generally carried out within the standard, day-to-day operating structure of the organization.

Mitigation

Mitigation activities are designed to reduce organizational risk by decreasing the likelihood and/or consequences of a hazard. Mitigation activities are often conducted in response to lessons learned from an incident or the results of an assessment, and are critical to minimizing the potential for loss of life and/or property. Examples include the use of physical barriers to protect people and/or collections (e.g., rail guards to prevent shelved collections from falling during earthquakes, bollards to reduce the vulnerability to vehicle-based attacks) or enhancements of mass-notification systems to improve the effectiveness of public warnings.

Response

Response represents the actions taken to manage the actual or potential consequences of an incident in order to protect the health and safety of people; protect and preserve SI collections, property, assets, and operations; and continue essential mission-enabling functions. Response

6. POLICY (continued)

operations may be initiated by various natural, technological, and human-caused incidents, and should be guided by formally established plans and procedures. Some examples are a tornado warning issued by the National Weather Service; a National Special Security Event with the Smithsonian in its footprint; a water leak in a Smithsonian facility; or a bomb threat at a Smithsonian owned or leased facility.

Recovery

Recovery includes activities designed to restore Smithsonian operations to “normal” following an event, and to identify lessons learned and corrective actions when appropriate. Some examples are salvage operations to rescue and/or restore collections, actions taken to re-open a flooded facility to the public, and, the production of an After Action Report (AAR) to formally identify lessons learned.

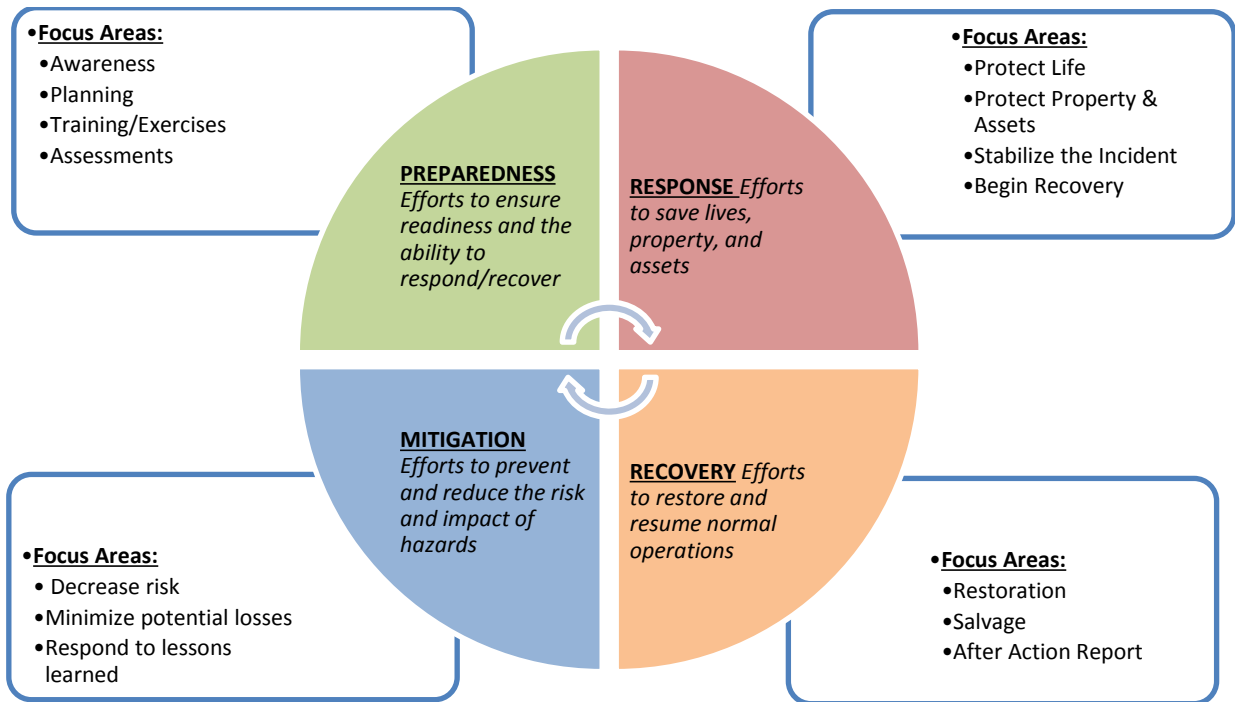


Figure 1 — The Emergency Management Cycle

Some jurisdictions identify a complementary fifth level of effort known as “Prevention,” which tends to focus on human-caused hazards that fall under the purview of Law Enforcement and Security. In the context of the SEMP, prevention-based activities are covered by the Smithsonian’s security policies and procedures, managed primarily by the Office of Protection Services (OPS), with “Security” being incorporated into the SEMP as an SI ESF.

6. POLICY (continued)

Program Administration

Balancing the Emergency Management Needs of the Institution and Units

The SI is a large and complex organization comprised of many diverse units. To ensure a common approach to EM across the Smithsonian, the SEMP, managed by OEM, establishes general policy, standards, and templates to guide unit efforts, while providing the flexibility required to tailor subordinate EM programs to unit-specific needs. This approach allows for the proper evaluation and balancing of various unit characteristics, including, but not limited to, a unit's institutional role (e.g., museum, central/administrative office, or research center), the level of public access, physical location and geography-based characteristics, size, and the availability of resources. The appropriate balance between institutional and unit EM needs is also fostered through a practical division of labor at each level, as identified in this SD, and driven by a hierarchy of complementary guidance documents that establish Smithsonian EM policy, and institution- and unit-level plans and procedures.

Unit Emergency Management Program (UEMP)

The SEMP recognizes that each Smithsonian unit faces different challenges to meeting its EM needs. Unit-specific circumstances will dictate the development of a localized UEMP, tailored to the needs of the unit and executed by unit staff. A unit-driven approach capitalizes on the strengths and perspectives of those most familiar with a unit's resources, capabilities, and limitations, resulting in cohesion within the unit and the effective implementation of a UEMP.

OEM facilitates development of UEMPs by providing guidance, templates, technical assistance, and direct support for unit EM activities (e.g., training and exercises). In order for units to maintain UEMPs, and for OEM to support units in doing so, each Unit Director must, at a minimum:

- Establish a point of contact to serve as the unit's primary liaison to OEM.
 - Type 1 Directors will appoint an Operations Section Chief (OSC) and a Planning Section Chief (PSC).*
 - Type 2 Directors are encouraged to appoint an OSC and a PSC.*
 - If no OSC/PSC is identified, the Unit Director assumes those responsibilities. *(See page 5 for more information about the "General Roles and Responsibilities" of the OSC and PSC.)*
- Work with OEM to identify the EM-focused plans and procedures that apply to their unit.

* Where practical, a single staff member may fill both the OSC/PSC roles.

6. POLICY (continued)

- Require staff to complete relevant EM training and exercises.
- Emphasize the importance of emergency preparedness to staff and unit leaders, and encourage their participation in and support for the UEMP.

Type 1 Unit Directors must also:

- Use OEM-provided guidance and templates to develop, update, and maintain unit-specific emergency operations plans and procedures;
- Prioritize and account for collections and assets in their care, ensuring that all collections are included in unit EM plans and procedures;
- Work with OEM to organize EM training and exercises; and
- Establish a Unit Emergency Operations Center (UEOC) and identify staff to fill key UEOC positions.

Emergency Management Guidance

This SD is supported by a number of complementary policies, plans and procedures that establish in more detail, and at the appropriate level, how Smithsonian Emergency Management Program (SEMP) activities are executed.

SD 109 is the ultimate authority for EM at the Smithsonian and addresses the central, overarching concepts and principles that establish and guide the SEMP as a whole. Other Smithsonian directives may also include program-level guidance on supporting emergency management at the Smithsonian, specific to the function and purpose of the SD. Examples include [SD 314](#) (*Contracting*), [SD 323](#) (*Smithsonian Institution Spending Policy for Federal Appropriations and Trust Funds*), and [SD 600](#) (*Collections Management*). Smithsonian staff should refer to the directive(s) applicable to their program(s) to ensure comprehensive emergency management activities.

The operational concepts, guides, and templates necessary for program execution, at the Institution-wide and unit levels, are detailed in, and implemented by, the SD 109 *Emergency Management Handbook* (EMHB), which is available upon request from the Office of Emergency Management. The EMHB is the operational foundation for executing this SD and represents a collection of guidance documents, each detailing how specific SEMP elements, within the phases of the EM Cycle, are executed. OEM is responsible for developing and compiling the EMHB, which addresses subjects such as:

6. POLICY (continued)

- Hazard Analysis
- Training and Exercises
- Emergency Operations Plans and Procedures
- Mitigation and Risk Management
- Emergency Communications
- Program Administration

Unit Plans and Procedures

Units possess the specialized expertise (e.g., collections care, building layout, vulnerabilities) and knowledge of unit capabilities required to develop executable unit-specific plans and procedures. Units are therefore responsible for ensuring the involvement of appropriate unit staff/offices in the planning processes that lead to the development of localized plans/procedures. This approach ensures the individual needs of each unit are met; garners stakeholder buy-in; helps identify and create awareness of capabilities and vulnerabilities; provides unit members the opportunity to inform and influence plans; and empowers unit members to take responsibility for developing and implementing their portion(s) of unit plans/procedures. Furthermore, the unit planning process serves as a teambuilding exercise, fostering cohesion and efficiency in the development of well-coordinated, executable unit-specific plans. As requested, OEM may provide templates and technical assistance to help units develop and implement their plans/procedures.

Smithsonian Emergency Management Guidance		
Guidance Level	Document(s)	Responsible Office
Policy	SD 109, <i>Smithsonian Emergency Management Program</i>	OEM
Plans (Institutional)	SD 109 Handbook, <i>Emergency Management Handbook (EMHB)</i>	OEM
Plans and Procedures (Unit/Program)	Plans, procedures, checklists, and related SDs that include program-specific guidance related to and in support of emergency management activities.	Unit or program

6. POLICY (continued)

Emergency Operations

Most emergencies can be managed within the Smithsonian's standard, day-to-day operating structure. Within that structure, Smithsonian units work together on a daily basis, using authorities aligned with their organizational responsibilities, to respond to various hazards. This includes cooperating with local emergency responders, and/or activating their unit-based Emergency Operations Center (if applicable), as necessary. In such cases, Unit Directors retain the authority to manage incidents, as prescribed by policy and procedures, in accordance with the authorities granted to their position and function. Incidents larger in scope and scale that exceed the capabilities found within the standard operating structure of the Smithsonian may require an incident-specific management structure and the use of emergency authorities to manage the potential or actual consequences of the incident, representing a departure from normal operations.

National Incident Management System (NIMS)/Incident Command System (ICS)

The Smithsonian implements a [NIMS/ICS](#) approach to managing emergencies at all levels of magnitude. This aligns with [Homeland Security Presidential Directive \(HSPD\) 5](#) and ensures the Smithsonian follows an established and effective framework used by jurisdictions and organizations across the United States.

Declaring a Smithsonian State of Emergency

When an incident exceeds, or threatens to exceed, the capabilities present within the standard operating structure of the Smithsonian, a Smithsonian State of Emergency may be declared by the Secretary or a designee (listed below), to better position the Institution to respond to and recover from an incident's potential or actual consequences. A Smithsonian State of Emergency clearly signals a departure from normal operations and is characterized by any of the following criteria:

- An incident threatens to exceed, or has exceeded, the capabilities of standard Smithsonian operations, representing a disruption to normal business operations that likely cannot be managed by the affected unit's resources alone.
 - Examples: weather forecast (e.g., Hurricane Watch), public advisory (e.g., Department of Homeland Security-issued advisory), or significant special event (e.g., Inauguration, Independence Day celebration on the National Mall).
- The situation represents an increased threat or imminent danger to SI visitors, staff, collections, property, assets, information, and/or operations, and protective measures

6. POLICY (continued)

must be taken to prepare for the incident, thus placing the Smithsonian in a better position to respond to and/or recover from the effects of the incident.

- Immediate action must be taken and emergency response is expected to be required for an extended period.

The Authority to Declare a Smithsonian State of Emergency

The authority to declare a Smithsonian State of Emergency is vested in the Secretary. The following are delegated the authority to declare a Smithsonian State of Emergency with the full force and effect of the Secretary's authority:

- Chief Operating Officer and Under Secretary for Finance and Administration; OR
- Provost and Under Secretary for Museums, Education, and Research; OR
- Coordination Group (CG), by majority vote. (See page 14, "*Emergency Operations Roles and Responsibilities*," for more information about the CG).

The Effects of Declaring a Smithsonian State of Emergency

When a Smithsonian State of Emergency is declared, the issuing authority has formally marked a temporary departure from normal operations to emergency operations, and the Institution may use its full range of resources to respond to and/or recover from the effects of the identified emergency.

A Smithsonian State of Emergency:

- Activates the SI emergency response and recovery functions.
- Shall be issued in a written communication, such as a letter or email.
- Shall clearly state the reason for the emergency declaration and the geographic area covered.
- Shall be for an established period of time, not to exceed seven days initially, and can be extended, if required, in increments of up to seven days, noting there is no maximum period of time for a state of emergency.
- Shall include the appointment of an SI Coordinating Officer (SCO), who will be responsible for the overall management of the incident.

6. POLICY (continued)

- Authorizes the deployment and use of all SI resources required to respond to the emergency, including the expenditure of funds in accordance with [SD 305, Administrative Control of Funds](#) and the [SD 323, Use of Funds Handbook](#).
- Provides the SI Emergency Operations Center (SI EOC) with the authority to activate any Unit EOC, regardless of whether a unit is impacted or not, to any level deemed necessary to support the institutional response.
- Authorizes the SI EOC to allocate resources from the full range of SI resources, regardless of where the resource is assigned during normal operations.
- Authorizes exceptions to policy (i.e., waivers), in accordance with applicable law and established waiver procedures, and as deemed necessary and appropriate, such as those related to certain Human Resources practices, emergency contracting and procurement procedures, etc.

Emergency Operations Roles and Responsibilities

Key elements of the Smithsonian's emergency operations structure include:

- Coordination Group (CG): The CG is delegated the authority from the Secretary to provide executive level oversight and support of institutional emergency operations by determining incident strategies, priorities, and goals. The CG may be convened by any of its members in anticipation of or in response to an emergency. The core members of the CG include the following (or their designee/s):
 - Chief Operating Officer and Under Secretary for Finance and Administration
 - Provost and Under Secretary for Museums, Education, and Research
 - Chief of Staff, Office of the Secretary
 - Assistant Secretary for Communications and External Affairs
 - Director, Office of Protection Services
 - Director, Smithsonian Facilities
 - Director, Office of Facilities Management and Reliability
 - Director, Office of Emergency Management

The CG has the authority to declare a Smithsonian State of Emergency by majority vote and appoint a Smithsonian Coordinating Officer (SCO). Not all incidents warrant a declaration of a Smithsonian State of Emergency.

6. POLICY (continued)

- Smithsonian Coordinating Officer (SCO)**: The SCO is appointed at the time of the declaration of a Smithsonian State of Emergency, and serves as the senior Smithsonian official for the designated incident. The position is an emergency response position and does not exist during standard, day-to-day operations. The SCO can be selected from any Smithsonian unit and is typically chosen based on experience or expertise with the type of incident driving the Smithsonian State of Emergency, ensuring the Smithsonian's ability to select the person best suited to lead its institutional response. The SCO establishes incident priorities and objectives during the period of a declared Smithsonian State of Emergency. The SCO represents only the Institution-level response; a Unit Coordinating Officer, appointed by the Unit Director, will be assigned to lead unit-level emergency response efforts.
- Unit Coordinating Officer (UCO)**: The UCO is the senior unit official during an emergency response, is appointed by the Unit Director, and leads the unit's emergency response efforts. The UCO may operate out of the Unit Emergency Operations Center (UEOC). The UCO is an emergency position; it does not exist during normal operations.
- Smithsonian Institution Emergency Operations Center (SI EOC)**: The SI EOC is where the coordination of information and use of Smithsonian resources to support unit incident management activities normally takes place. The SI EOC manages the Institution-level response, on behalf of the Secretary, and provides a centralized location for information analysis and sharing; interoffice coordination; executive decision making, including the establishment of general priorities; and the administration of Smithsonian-wide resources that may be used to support and assist units with responding to the incident. The SI EOC allocates and controls all resources until they are assigned to support a specific unit, at which time the receiving unit assumes tactical control of those resources until they are no longer needed and are released back to the SI EOC. The SI EOC may activate at various levels, corresponding to the scope and scale of a threat or actual incident, so that it provides the Smithsonian flexibility in responding to different types of emergencies and incidents. As a supporting entity, the SI EOC does not command or control on-scene response efforts, which fall under the purview of the affected unit(s). The SI EOC may be activated by the Secretary, the Under Secretaries, the CG, or the Office of Emergency Management (OEM).
- Unit Emergency Operations Center (UEOC)**: The UEOC is where Smithsonian units manage incident response and recovery efforts. The UEOC offers a centralized location for unit offices to share information and coordinate their response and recovery activities, and is the primary interface between the unit and the SI EOC (if the SI EOC is activated). The UEOC is typically activated at the discretion of the Unit Director (or

6. POLICY (continued)

designee) and may not be activated for every type of emergency, although it is typically activated for events that fall outside the scope of the unit's standard capabilities.

- **SI ESF Primary Office:** The SI ESF Primary Office is the principal functional representative in the SI EOC responsible for coordinating with unit counterparts, identifying functional needs and solutions, managing and orchestrating the provision of resources (e.g., staff and equipment), and providing input for institutional planning and reporting. When a Smithsonian State of Emergency is declared, the SI ESF Primary Office is granted the authority to direct functional resources from one unit to another, regardless of where those assets reside on a day-to-day basis, to support institutional emergency operations. Contact the Office of Emergency Management for more information about the SI ESF structure and associated responsibilities.

External Requests for Emergency Assistance

The Smithsonian has a history of assisting partners in need in the aftermath of a disaster. To ensure assistance provided by the Smithsonian aligns with the appropriate U.S. Government emergency response structure and authorities (e.g., Stafford Act declaration), and to adequately prepare staff supporting the delivery of the requested assistance, external requests for domestic emergency assistance should be coordinated by the Office of Emergency Management.

Emergency Management Funding and Resources

Resourcing Institutional Activities (Normal Operations)

The Office of Emergency Management will administer a budget for executing day-to-day SEMP requirements. Funds made available to OEM are for the purpose of enhancing broader institutional preparedness and readiness by advancing SEMP-based objectives, such as promoting hazard awareness, planning, training and exercises, and mitigating identified vulnerabilities. As these activities benefit the Institution as a whole, individual SI units will also enjoy benefits and support from them. Where possible, OEM will first use existing and immediately available means to advance SEMP initiatives in order to leverage and conserve existing resources.

Resourcing Unit EM Activities (Normal Operations)

Smithsonian units shall leverage existing capabilities and means to execute their own day-to-day emergency management activities. Though some resources may be made available through OEM channels, additional support is not guaranteed, and units must make the best use of resources immediately at their disposal and/or by reprioritizing resource availability to accommodate their EM needs.

6. POLICY (continued)\

Funding Emergency Operations

If a Smithsonian State of Emergency is declared, funds may be allocated to provide for the resources and services required to respond to and recover from the identified emergency. The use of Smithsonian funds for emergency purposes is governed by [SD 323, Smithsonian Institution Spending Policy for Federal Appropriations and Trust Funds](#), and the associated [SD 323, Use of Funds Handbook](#).

SUPERSEDES: SD 109, February 8, 2005.

INQUIRIES: Office of Emergency Management (OEM)

RETENTION: Indefinite. Subject to review for currency 36 months from date of issue.
