

# PLANNING

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## **Capability Definition**

Planning is the mechanism through which Federal, State, local and tribal governments, non-governmental organizations (NGOs), and the private sector develop, validate, and maintain plans, policies, and procedures describing how they will prioritize, coordinate, manage, and support personnel, information, equipment, and resources to prevent, protect and mitigate against, respond to, and recover from Catastrophic events. Preparedness plans are drafted by a litany of organizations, agencies, and/or departments at all levels of government and within the private sector. Preparedness plans are not limited to those plans drafted by emergency management planners. The planning capability sets forth many of the activities and tasks undertaken by an Emergency Management planner when drafting (or updating) emergency management (preparedness) plans.

Unlike the other target capabilities, the attributes of planning are difficult to quantify, as individual planners may have considerably varied education and experience and still produce plans that lead to the successful implementation of a target capability. The focus of the Planning Capability is on successful achievement of a plan's concept of operations using target capabilities and not the ability to plan as an end unto itself. Plans should be updated following major incidents and exercises to include lessons learned. The plans should form the basis of training and should be exercised periodically to ensure that responders are familiar with the plan and able to execute their assigned role. Thus, it is essential that plans reflect the preparedness cycle of plan, train, exercise, and incorporation of after action reviews and lessons learned.

## **Outcome**

Plans incorporate an accurate threat analysis and risk assessment and ensure that capabilities required to prevent, protect against, respond to, and recover from all-hazards events are available when and where they are needed. Plans are vertically and horizontally integrated with appropriate departments, agencies, and jurisdictions. Where appropriate, emergency plans incorporate a mechanism for requesting State and Federal assistance and include a clearly delineated process for seeking and requesting assistance from appropriate agency(ies).

## **Relationship to National Response Plan Emergency Support Function (ESF)/Annex**

Planning supports all Emergency Support Functions (ESFs) and Annexes (support and incident) at the Federal, State, local, territorial, and tribal levels.

## **Preparedness Tasks and Measures/Metrics**

### **Activity: Conduct Strategic Planning**

**Definition:** The art and science of developing and employing instruments of national and State/territorial power (information, technology, economic, intelligence, and military) in a synchronized and integrated fashion to achieve the objectives of the National Strategy for Homeland Security, the National Preparedness Guidelines, the NRP, and supporting State/territorial and local strategic direction and guidance. Strategic planning uses gap analysis to develop programmatic priorities that address the mission requirements, goals, objectives, milestones, and resources to ensure interoperable and integrated synchronization throughout all

levels of government and nongovernmental organizations for all hazards, incident-related prevent, protect, respond, and recover activities.

### Critical Tasks

ComA 1.1.3	Develop regional and State/local Strategic Plans
ComA 2.9.2	Identify, develop, and convene local preparedness planning organization(s)
ComA 2.2	Define and implement the responsibilities for standardized emergency management system planning
ComA 2.2.2	Coordinate and integrate all response and recovery agencies/organizations in the planning process
ComA 2.2.3	Coordinate and integrate nongovernmental organizations and the private sector entities into the emergency management planning and decision-making processes
ComA 1.3.4	Conduct gap analysis to identify training, and exercise needs and to facilitate investment and personnel decisions
ComA 1	Develop scalable strategic plans, based on normal response plans, to prevent, protect against, respond to, and recover from natural and man-made disasters, as well as acts of terrorism
ComA 1.2	Establish the National Incident Management System
ComA 1.3	Establish and maintain a national preparedness assessment and reporting system
ComA 1.3.2	Develop a preparedness planning and review cycle that encompasses planning, training, exercising, evaluation, and the incorporation of after action reviews (AAR) and lessons learned (LL)
ComA 1.3.2.1	Track implementation of after action reviews and lessons learned for improvement and corrective actions that enhance exercises and inform subsequent corrective training efforts

### Preparedness Measures

### Metrics

Regional and State/local strategic plans include, but are not limited to, the national mission areas of prevent, protect against, respond to, and recover from man-made and natural disasters and acts of terrorism	Yes/No
The strategic plan defines the vision, mission, goals, and objectives of the jurisdiction	Yes/No
Strategic plan addresses protection against, response to, and recovery from natural and man-made disasters as well as acts of terrorism	Yes/No
Planners are trained and equipped	Yes/No
Frequency with which plans are reviewed and updated in accordance with Federal, State, and local regulations and policies	Every 12 months
Improvement actions from after action reports (AARs) and lessons learned are implemented according to the scale of disaster(s) and/or through defined Federal mandate for schedule for completion	Yes/No

### Activity: *Develop/Revise Operational Plans*

**Definition:** Use priorities identified in the Strategic Planning process, as well as any recommendations/lessons learned, to guide the development of appropriate operational plans, such as emergency operations plans (EOPs), comprehensive emergency management plans

<b>(CEMPs), recovery plans, hazard identification risk analysis (HIRA) plans, mitigation plans, and continuity of operations (COOP) plans. Operational plans identify the organizations and resources required to execute the four functional mission areas of prevent, prepare, respond, and recover.</b>	
<b>Critical Tasks</b>	
ComA 2.1	Conduct a hazard analysis to identify threats, vulnerabilities, and consequences to be addressed by emergency management and/or preparedness plans
ComA 2.1.3	Develop and maintain Comprehensive Emergency Management Plans (CEMPs) or similar emergency management/preparedness plans
ComA 2.4	Develop emergency operations/response plans that describe how personnel, equipment, and other governmental, nongovernmental, and private resources will support and sustain incident management requirements
ComA 2.5	Develop and maintain Emergency Operations Plan (EOP) annexes for hazard specific response to include natural and man-made disasters as well as acts of terrorism, and other hazards
ComA 2.3	Develop and execute mutual aid assistance agreements and compacts
ComA 2.7	Develop National, State/Local, and Non-Governmental Continuity Plans. All-level Continuity Plans will describe how personnel, equipment, and other governmental, non-governmental, and private resources will support the sustainment and/or reestablishment of essential functions. Plans shall identify the critical and time sensitive applications, processes, and functions, to be recovered and continued, following an emergency or disaster, as well as the personnel and procedures necessary to do so, such as business impact analysis, business continuity management, vital records preservation and alternate operating facilities
ComA 2.3.3	Develop regional coordination plans or activities that involve all Federal, State, local, territorial, tribal, NGO, and private stakeholders
<b>Preparedness Measures</b>	
	<b>Metric</b>
Continuity of Operation (COOP) plans describe how personnel, equipment, and other resources support sustained response/survivability and recovery for all sectors	Yes/No
Continuity of Government (COG) plans describe the continued functioning of constitutional government under all circumstances	Yes/No
Emergency response plans are consistent with the National Response Plan (NRP) and National Incident Management System (NIMS)	Yes/No
Mutual aid assistance agreements are in place with contiguous jurisdictions	Yes/No
Preparedness plans are consistent with NRP and NIMS	Yes/No
Aid assistance agreements or contracts with private organizations are in place	Yes/No
Pre-identified mechanisms to request assistance from counties, the State, or the Federal Government are in place	Yes/No
Emergency response plans address substantial loss of public safety response capabilities during catastrophic events (to include special needs populations and people with disabilities)	Yes/No
Frequency with which plans are reviewed and updated to ensure compliance with governmental regulations and policies ( <i>Review requirements are intended to apply only when no pre-existing review cycle has been established in Federal, State, or local requirements</i> )	Every 12 months

**Activity: Validate Plans**

**Definition:** Evaluate operational plans through exercising, training, and real world events, and use after-action reports (AARs) to support validation and revision of operational and strategic plans

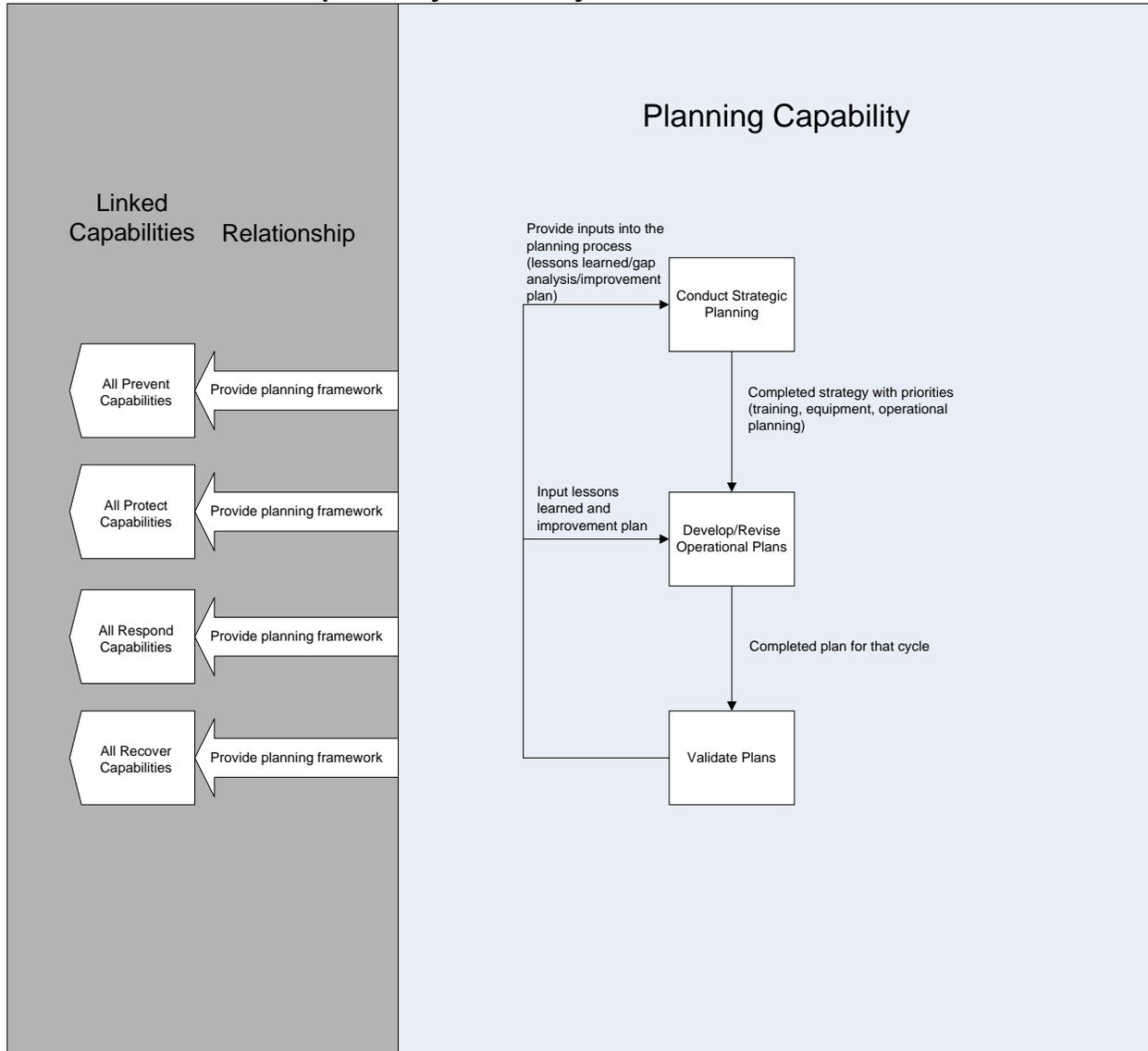
**Critical Tasks**

ComA 3.6	Ensure that trained, exercised, and equipped personnel are available to execute all planning requirements as determined by applicable standards of proficiency	
ComA 3.1	Develop exercises/drills of sufficient intensity to challenge management and operations and to test the knowledge, skills, and abilities of individuals and organizations	
ComA 3.2	Develop integrated national, regional, and State/local level exercises/drills	
ComA 3.3	Develop regional and State/local level exercises of sufficient intensity to challenge management and operations and test knowledge, skill and abilities of individuals and organizations	
ComA 3.4	Develop lessons learned reports and procedures based on real world events and exercises	
ComA 3.5	Develop, review, evaluate and update emergency management and/or preparedness plans based on lessons learned and/or AARs to address problems/gaps and needed corrective actions	
<b>Preparedness Measures</b>		<b>Metric</b>
Plans are exercised and/or evaluated according to Homeland Security Exercise and Evaluation Program (HSEEP) requirements		Yes/No
Record of deficiencies is generated from plan review process within consensual or mandated predetermined days for review		Yes/No
Time in which improvement plans to address deficiencies are generated		Within 30 days from development of record of deficiencies
Frequency with which improvement plan actions are monitored for implementation		Every 3 months

**Linked Capabilities**

<b>Linked Capability</b>	<b>Relationship</b>
All Prevent Capabilities	Planning provides all Prevent capabilities with a consistent foundation upon which the other capability-specific plans, procedures, training, and exercise programs will be developed
All Protect Capabilities	Planning provides all Protect capabilities with a consistent foundation upon which the other capability-specific plans, procedures, training, and exercise programs will be developed
All Respond Capabilities	Planning provides all Respond capabilities with a consistent foundation upon which the other capability-specific plans, procedures, training, and exercise programs will be developed
All Recover Capabilities	Planning provides all Recover capabilities with a consistent foundation upon which the other capability-specific plans, procedures, training, and exercise programs will be developed

# Capability Activity Process Flow



### Resource Element Description

Resource Elements	Components and Description
Planners	Planners dedicated to developing and maintaining homeland security, emergency management, and/or all-hazards plans. Setting qualifications for planner should be established by the jurisdiction.
Computer and planning software tools	Includes computers with sufficient software tools to accomplish the specified tasks, such as geographic information system tools, decision modeling programs, relational databases, hazard modeling programs (i.e., computer-aided management of emergency operations [CAMEO], multihazard loss estimation methodology [HAZUS]) and consequence modeling tools.
Required training program	Training may include but is not limited to courses offered through Federal, State, local and private organizations, such as Federal Emergency Management Agency (FEMA), Emergency Management Institute (EMI), Office for Domestic Preparedness (ODP) Training Consortium, State training academies, and colleges and universities. Completion of one or more of the above may meet minimum requirements.

### Planning Assumptions

- This capability applies to a wide range of incidents and emergencies including terrorist attacks, other manmade disasters, and natural disasters. It is intended to address deliberate planning coordination.
- A catastrophic incident will present a dynamic response and recovery environment requiring that response plans and strategies be flexible enough to effectively address emerging or transforming needs and requirements.
- A “dedicated planner” is one full-time equivalent (FTE) person whose work is focused exclusively (“dedicated”) on the development and maintenance of homeland security, emergency management, and/or all-hazards plans.
- The human or physical resources identified in the response strategy may not be available for 24-48 hours of a catastrophic event due to jurisdiction-specific considerations of resource management in times of crisis(es) (e.g., resource needs at their home institutions, family requirements, over-extension, limits established in MOAs, etc.).
- A catastrophic incident may have significant international dimensions. These include potential impacts on the health and welfare of border community populations, cross-border trade, transit, law enforcement coordination, and other areas.
- Planning occurs with respect to the incident (strategic, operational, and tactical/incident) and according to the appropriate jurisdictional level (Federal, State, local, tribal).
- All operational personnel are trained on all appropriate plans and their role within those plans.
- Plans are validated through review, testing and exercises.
- Plans are written in accordance with NIMS.
- Planners have knowledge, experience, and/or training in subject areas.
- The planning process includes hazard analysis and risk assessment.
- The UTL is a menu of tasks that can be used in developing plans-to-task development.

### Target Capability Preparedness Level

Resource Element Unit	Type of Element	Number of Units	Unit Measure (number per x)	Lead	Capability Activity supported by Element
Planner	Personnel	1	Per every 250k population in each State	State	All Activities
Planner	Personnel	2	Per territory	State	All Activities
Planner	Personnel	2	Per UASI city and Washington, DC	Local	All Activities
Required training program	Training	1	Per planner	Federal/State/Local	All Activities
Computer and planning software tools	Equipment	1	Per planner	Federal/State/Local	All Activities

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