



FEMA Operational Planning Manual

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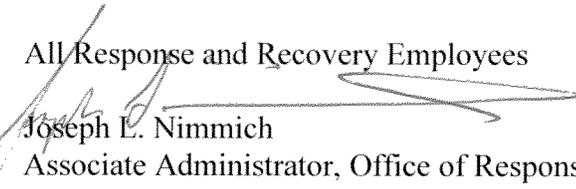
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6/6/2014

MEMORANDUM FOR: All Response and Recovery Employees

FROM:  Joseph L. Nimmich
Associate Administrator, Office of Response & Recovery

SUBJECT: FEMA Operational Planning Manual

In the past year, personnel from each of the ten FEMA Regions, FEMA Headquarters, and across mission areas have devoted their expertise, experience, and insight to produce the first comprehensive Agency-wide standard for the conduct of operational planning. The result of this concerted effort is the *FEMA Operational Planning Manual*. Thank you for providing dedicated staff and expertise to the development of this critical piece of Agency doctrine.

FEMA develops operational plans to express what we intend to accomplish to address threats, hazards, and incidents. This manual provides comprehensive guidance for how FEMA develops two types of operational plans: deliberate plans, developed under non-emergency conditions, and crisis action plans, developed in response to incidents or credible threats. Plans guide operations, but they also provide shared expectations, and serve as a tool for communication, priority setting, risk management, information sharing, training, and exercises. This manual provides detailed guidance on how planners engage stakeholders and develop plans using a consistent process, and is designed to cultivate an agency-wide culture of planning and engagement across program areas. The process outlined in this manual should become routine for planners, and this document should serve as the basis for enhancing the professional capabilities of the agency to coordinate the Federal government's role in all domestic disasters.

In addition, this manual reflects Agency doctrine and policy, and operationalizes guidance contained in the "Comprehensive Preparedness Guide 101 (CPG 101)," the "Comprehensive Preparedness Guide 201," the "FEMA Operational Planning Keystone," and the "FEMA Incident Management and Support Keystone." I ask that all FEMA response and recovery staff review and familiarize themselves with the *FEMA Operational Planning Manual*.

If you have any questions or comments regarding this publication please contact the FEMA Response Doctrine Unit at FEMA-Doctrine@fema.dhs.gov.

cc: Deputy Administrator for Protection and National Preparedness, Federal Insurance and Mitigation Administrator, U.S. Fire Administrator, Associate Administrators, Chief of Staff, Assistant Administrators, Chief Counsel, Regional Administrators, Directors

Attachments: *FEMA Operational Planning Manual*

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CHAPTER 1: INTRODUCTION

Federal departments and agencies develop operational plans to address a variety of activities for which they have responsibilities. In the area of disaster and emergency incident management, the Federal Emergency Management Agency (FEMA) and many other departments and agencies develop operational plans to express what they intend to accomplish to address threats, hazards, and incidents that have already happened. Plans guide operations, but they also provide shared expectations, and serve as a tool for communication, priority setting, information sharing, training, and exercises. Plans serve as a common reference for decision making.

Because FEMA is charged with leading the Federal government's response to most disasters and emergencies, FEMA's operational plans must be written not only to guide FEMA operations, but also to interlock with the plans of other Federal departments and agencies; likewise, the plans of other Federal departments and agencies must integrate with FEMA's plans. For this reason, operational planning is generally conducted in partnership with other organizations. Together, FEMA operational plans and the plans of partner organizations identify activities and efforts to address one or more potential or actual incidents. Planners coordinate the development of plans using a standard process, and recognize that the end users of a plan are not the planners, but the incident support and incident management personnel from FEMA, and personnel from other Federal agencies (OFA), and State, Local, Tribal, and Territorial (SLTT) partners.

As outlined in the "FEMA Operational Planning Keystone," incident management and support require two kinds of operational plans: deliberate plans, developed under non-emergency conditions, and crisis action plans, developed in response to incidents or credible threats. This manual provides detailed guidance on how planners engage stakeholders and develop plans using a consistent process, and is designed to cultivate an agency-wide culture of planning and engagement across program areas. The process outlined in this manual should become routine for planners, and this document should serve as the basis for enhancing the professional capabilities of the agency to coordinate the Federal government's role in all domestic disasters.

PURPOSE

This FEMA Operational Planning Manual describes how FEMA conducts operational planning activities. To maximize interoperability within FEMA, it is important to standardize the approach to operational planning. This manual identifies and describes: (1) common types of planning, (2) the operational planning method, (3) the use of the operational planning method for deliberate planning, (4) how to operationalize deliberate plans through crisis action planning, and (5) how to transition plans from the planners to those who execute plans. This manual relies on the informed professional judgment of the planner, and is intended to build a common culture of planning within FEMA. For this manual to be effective, all FEMA personnel involved in the development of operational plans must understand and execute the operational planning method described in this document.

APPLICABILITY AND SCOPE

The guidance in this manual applies to all FEMA operational planning activities as defined in the “FEMA Operational Planning Keystone.” It applies to all FEMA personnel who conduct or contribute to operational planning, and is intended to inform FEMA’s partners and stakeholders regarding FEMA operational planning methodology.

SUPERSESSON

This document supersedes and rescinds the “FEMA Regional Planning Guide,” drafted in 2011.

AUTHORITIES AND FOUNDATIONAL DOCUMENTS

This manual reflects Agency doctrine and policy and operationalizes guidance contained in the “Comprehensive Preparedness Guide 101 (CPG 101),” the “Comprehensive Preparedness Guide 201,” the “FEMA Operational Planning Keystone”, and the “FEMA Incident Management and Support Keystone.”

Other documents listed below provide statutory, regulatory, and executive guidance for FEMA activities. More information about the authorities and foundational documents listed below can be found in Appendix E: Authorities and Foundational Documents.

- Robert T. Stafford Disaster Relief and Emergency Assistance Act (Public Law 93-288, as amended, 42 U.S.C. §§ 5121-5207)
- Title 44 of the Code of Federal Regulations (CFR), Emergency Management and Assistance
- Homeland Security Act of 2002 (Public Law 107-296, as amended, 6 U.S.C. §§ 101 et seq.)
- Homeland Security Presidential Directive 5 (HSPD-5), “Management of Domestic Incidents,” 2003
- Post-Katrina Emergency Management Reform Act of 2006 (Public Law 109-295), October 2006
- Presidential Policy Directive 8 (PPD-8), “National Preparedness,” March 2011
- National Incident Management System (NIMS), December 2008
- National Preparedness Goal, September 2011
- National Disaster Recovery Framework (NDRF), September 2011
- National Preparedness System, November 2011
- National Response Framework, May 2013
- National Mitigation Framework, May 2013
- National Prevention Framework, May 2013
- National Protection Framework, May 2013

BACKGROUND

Planning is the heart of emergency management at all levels of government. As the lead for the Response, Recovery, and Mitigation mission areas, FEMA must lead the way in planning. While other agency planning is essential and contributes to achieving FEMA's mission, the guidance in this manual focuses exclusively on how FEMA conducts deliberate planning and adapts deliberate plans to meet the needs of crisis action planning. FEMA must produce actionable operational plans to ensure that it conducts effective Mitigation, Response, and Recovery operations when incidents occur. In addition, FEMA is responsible for supporting the operational planning of its partners. By developing effective operational plans, FEMA, OFA, and SLTT are able to provide effective operations before, during, and after incidents.

Conducting effective deliberate planning requires many elements—involving the right partners, stakeholders, and expertise; accurately understanding the hazard or threat and its potential effects; articulating specifically what must be done; envisioning effective and efficient courses of action (COAs); and documenting how resources will be applied. This manual is intended to support these elements by providing a baseline of terminology, steps, techniques, and plan formatting to standardize operational planning throughout the Agency. This, in turn, helps to ensure that plans developed in one FEMA region or one FEMA program element are consistent and interoperable with plans developed by other program elements at FEMA Headquarters or in another FEMA region. In addition, this will help ensure that all FEMA personnel, regardless of duty station or program affiliation, have the same operational planning frame of reference and are able to support operational planning efforts effectively.

INCORPORATING NATIONAL PLANNING SYSTEM AND FEDERAL INTERAGENCY OPERATIONAL PLANS GUIDANCE

Presidential Policy Directive 8 (PPD-8), National Preparedness, released in 2011, established the requirement for a hierarchy of plans, called the National Planning System, which includes the following elements:

1. National planning frameworks for the mission areas of Prevention, Protection, Mitigation, Response, and Recovery;
2. Federal interagency operational plans (FIOPs) to define the Federal role in implementing each of the national planning frameworks;
3. Operational plans for each Federal department or agency with a role in a FIOP; and
4. Guidance for planning by SLTT governments, as well as the private sector and nongovernmental organizations.

The information in this manual is intended to ensure that FEMA operational planning is consistent with the National Planning System and all pertinent provisions of PPD-8.

PPD-8 and the National Preparedness Goal identify 31 core capabilities. These are the distinct critical elements needed to achieve national preparedness. These capabilities are referenced in many national preparedness documents, including the five national planning frameworks (which address Prevention, Protection, Response, Recovery, and Mitigation). The National Preparedness Goal identifies core capabilities in five mission areas (Prevention, Protection, Response, Recovery, and Mitigation), specifying capabilities that are common to all mission areas, or specific to certain missions.

Under PPD-8, FEMA has the primary responsibility for coordination in the mission areas of Mitigation, Response, and Recovery, and executes these missions in concert. Because FEMA conducts the core capabilities of these mission areas simultaneously, from the initiation of Federal incident management and support actions throughout the life of the incident, FEMA structures its incident management and support efforts around common principles and common operational design and conduct. Executing incident management in a way that meets the principles of the National Incident Management System (NIMS) and the Incident Command System (ICS) ensures that scarce resources are judiciously deployed, and that operations address appropriate mission areas and employ core capabilities in a unified and seamless fashion.

Again, Mitigation, Response, and Recovery missions are conducted simultaneously and in concert during FEMA incident management operations. Planners conduct the planning process for these mission areas with the intent of facilitating seamless coordination among the mission areas. The resulting plans address the adjudication of resources, clarify command and control, and assign roles and responsibilities prior to an event.

Figure 1 on the next page depicts all five mission areas under the National Preparedness Goal and their associated core capabilities, including core capabilities common to all mission areas.

Prevention	Protection	Mitigation*	Response*	Recovery*
Planning				
Public Information and Warning				
Operational Coordination				
Forensics and Attribution	Access Control and Identity Verification	Community Resilience	Critical Transportation	Economic Recovery
Intelligence and Information Sharing	Cyber security	Long-term Vulnerability Reduction	Environmental Response/Health and Safety	Health and Social Services
Interdiction and Disruption	Intelligence and Information Sharing	Risk and Disaster Resilience Assessment	Fatality Management Services	Housing
Screening, Search, and Detection	Interdiction and Disruption	Threats and Hazard Identification	Infrastructure Systems	Infrastructure Systems
	Physical Protective Measures		Mass Care Services	Natural and Cultural Resources
	Risk Management for Protection Programs and Activities		Mass Search and Rescue Operations	
	Screening, Search, and Detection		On-scene Security and Protection	
	Supply Chain Integrity and Security		Operational Communications	
			Public and Private Services and Resources	
			Public Health and Medical Services	
	Situational Assessment			

*The mission areas where FEMA has the primary coordination role are listed under the Migration, Response, and Recovery columns.

Figure 1: Mission Areas and Core Capabilities in PPD-8.

Planning to support the conduct of these missions requires effective interagency coordination. As described below in this manual, multiple interagency partners cooperate to meet objectives established for each core capability. This manual describes the system of coordination used in order to accomplish these objectives, notably by maintaining effective joint operational plans, including the Emergency Support Functions (ESFs) and Recovery Support Functions (RSFs) that serve as the executive groups for disaster operations. Users of this manual should regard the terminology and relationships described within as national standards for how FEMA conducts operational planning.

The guidance provided in this manual is intended to serve as a point of common reference for all disaster operational planning which requires the joint effort of multiple agencies, where FEMA plays a primary role in coordinating operations. Figure 2 on the next page provides an overview of how disaster operational planning efforts are aligned under common strategic guidance, and are mutually supportive in their development, coordination, and use.

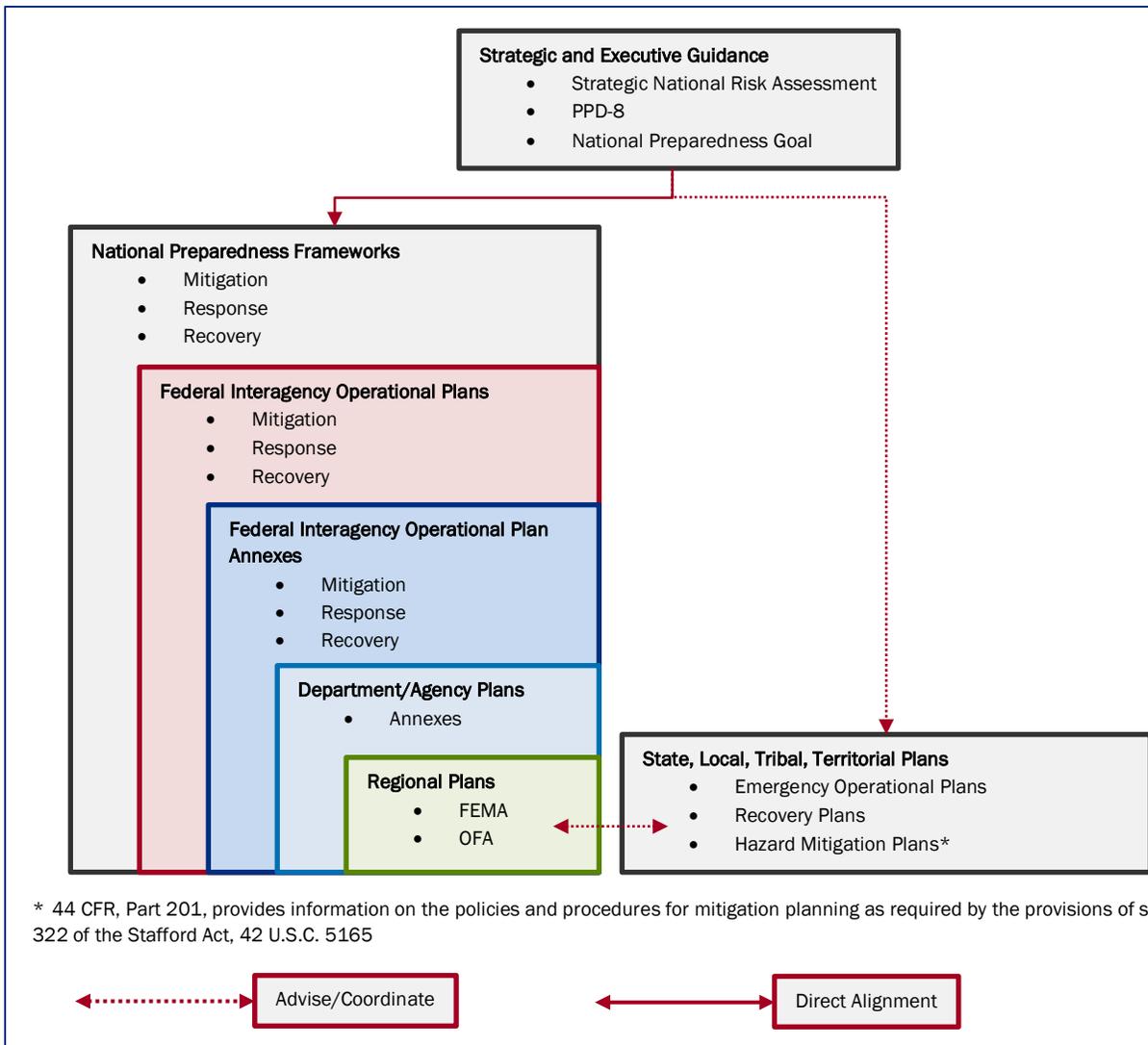


Figure 2: Deliberate Plan Alignment.

HOW TO USE THIS MANUAL

This document is intended to be a how-to manual for planners and other personnel who are called on to support operational planning activities. The planning process provided in this manual is consistent with the guidance in CPG 101, and provides a common reference for both the process of developing plans and the structure, style, and format of the finished plans.

- Chapter 2 reiterates key planning terminology and definitions to ensure that planners are using terms consistently in all program areas and all FEMA locations.
- Chapters 3 through 8 describe how to perform the six activities in the planning process in order to create a deliberate plan. This will be referred to in this document as the “deliberate planning process.”

- Chapter 9 explains how FEMA incident management and incident support personnel use deliberate plans as they conduct crisis action planning.
- Chapters 3 through 9 have each been written as standalone guidance on how to conduct the activities that make up the deliberate planning process, and how to apply deliberate plans in crisis action planning.

PLANNING AS RISK MANAGEMENT

Risk management is the process of identifying, analyzing, and communicating risk and accepting, avoiding, transferring, or controlling risk to an acceptable level, considering associated costs and benefits of any actions taken.¹ Planning, as a formal process for making informed decisions, promotes a common understanding of, and approach to, risk management. Through risk management, organizations can better understand which scenarios are more likely to impact them, what the consequences would be, what risks merit special attention, what actions must be planned for, and what resources are likely to be needed, as well as what risks have the ability to negatively impact operations. Managing risk requires a consistent approach, and each step of the planning process incorporates an awareness of planning as a risk management activity.

THE PLANNING PROCESS

FEMA's operational planning process is based upon and aligned with the steps described in CPG 101, as well as the planning processes of many other organizations and entities. While planning follows a consistent set of activities, the planning process is not strictly linear. Actions taken in each of the six planning activities drive and inform subsequent activities, but are also revisited to be refined and updated as the plan progresses and matures during development.

Planners should become familiar with the content of this manual, and should ensure appropriate input from leadership and stakeholders to create plans that are consistent, defensible, accurate, and actionable. Figure 3 depicts the six standard planning process steps.

¹ DHS Risk Management Fundamentals, April 2011.

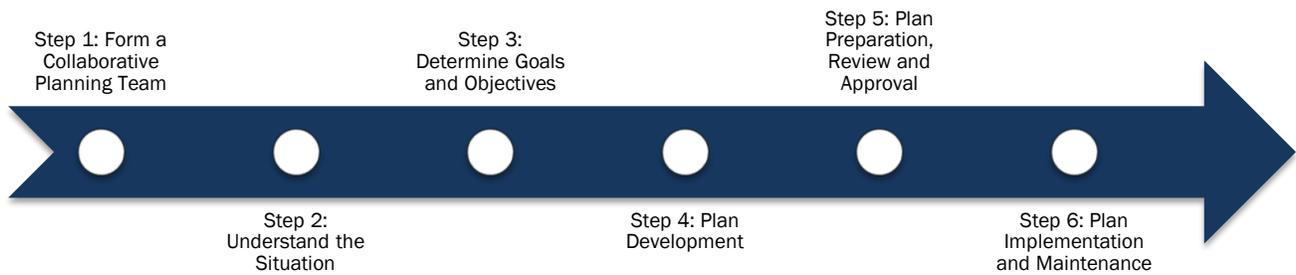


Figure 3: The Six-Step Planning Process.

FEMA follows a standard planning process to create a planning environment that connects program and mission areas, and creates completed plans that guide incident operations.

Figure 4 on the next page provides a detailed depiction of the approximate level of effort and actions associated with each step in the planning process, delineating responsibilities for different members of the planning team and for personnel who will implement, exercise and conduct training based on plans.

Planning Process Steps	<i>STEP 1: Form a Collaborative Planning Team ^</i>	<i>STEP 2: Understand the Situation ^</i>	<i>STEP 3: Determine Goals and Objectives^</i>	<i>STEP 4: Plan Development ^</i>	<i>STEP 5: Plan Preparation, Review and Approval ^</i>	<i>STEP 6: Plan Implementation and Maintenance ^</i>
Percent of Overall of Effort						
Senior Leadership Steering Committee	<ul style="list-style-type: none"> Assign plan responsibility Identify intent Identify problem Designate planning lead Approve formal intent Approve scope Approve work plan* 	<ul style="list-style-type: none"> Approve scenario 	<ul style="list-style-type: none"> Approve information analysis briefing Approve mission statement and end state Approve Information Analysis Briefing (IAB)* 	<ul style="list-style-type: none"> Approve course of action (COA) briefing* 	<ul style="list-style-type: none"> Approve written plan* 	<ul style="list-style-type: none"> Transfer responsibility for the plan to operations, exercise staff and program areas.
Core Planning Team	<ul style="list-style-type: none"> Draft formal intent Draft scope Complete intent Finalize scope Identify implied tasks Designate planning team leader Complete planning team roster Issue planning team notification Develop work plan* 	<ul style="list-style-type: none"> Ensure factual basis for decisions Assign development of threat and hazard scenario Assign research and analysis Develop operational context Finalize IAB (supporting analysis)* 	<ul style="list-style-type: none"> Develop mission statement Develop formal end state Identify relevant operational phases Develop core capability objectives by phase Finalize IAB (Objectives)* 	<ul style="list-style-type: none"> Convene COA workgroup Develop assessment criteria Develop course of action (concept of operations) Develop core capability courses of action Recommend COAs Conduct COA briefing* Capability and resource requirement analysis/alignment 	<ul style="list-style-type: none"> Draft the plan following FEMA conventions for plan organization (this manual) Complete Written plan* Conduct Final Plan Briefing* Distribute approved plan 	<ul style="list-style-type: none"> Revise elements of the plan pursuant to changes in policy, doctrine, organization, and risk, as feasible
Collaborative Planning Team	<ul style="list-style-type: none"> Receive and respond to planning notification 	<ul style="list-style-type: none"> Conduct research and analysis Develop planning products to meet the scope and intent of the plan Identify physical effects and operational impacts 	<ul style="list-style-type: none"> Contribute to mission statement Contribute to operational phase determinations Develop core capability objectives by phase 	<ul style="list-style-type: none"> Participate in workgroup Analyze IAB and define criteria Frame the problem(s) / brainstorm Draft, score and compare COAs Recommend COAs Conduct Capability analysis and resource alignment 	<ul style="list-style-type: none"> Review the plan 	
Operations / Program Areas #						<ul style="list-style-type: none"> Receive and accept custody of, and responsibility for, the plan
Exercise Personnel #						<ul style="list-style-type: none"> Conduct validation exercise and after action report Use written plans to form the basis of exercise scenarios
Crisis Action Planners #	<ul style="list-style-type: none"> Planners assigned to incident conduct planning activities during incident management and incident support Identify available plans for scenario or impact area 	<ul style="list-style-type: none"> Assess plans for currency, congruent risks, etc. Identify decision tools from written plan Assimilate available information about the incident 	<ul style="list-style-type: none"> Evaluate and adapt plan objectives 	<ul style="list-style-type: none"> Develop crisis action plans leveraging deliberate plans as the basis for initial assumptions and execution. 	<ul style="list-style-type: none"> Follow applicable standard formats and processes (e.g. FEMA IAP Guide), ensuring effective crisis action plans. 	<ul style="list-style-type: none"> Execute crisis action plans during incident management or support

Blue text (marked with *) = Key deliverable and interim progress review | Bold green Border (marked with #) = transition of planning process to end user | *Italicized red text (marked with ^)* = Planning process step.

Figure 4: The Planning Process.

CHAPTER 2: TYPES OF OPERATIONAL PLANS AND THEIR DEFINITIONS

OPERATIONAL PLANNING

Operational planning informs efforts to address potential or actual incidents. Operations both affect partnerships and rely on partnerships; likewise, operational planning is generally accomplished in partnership with other organizations.²

FEMA follows a standard six-step planning process to develop two types of operational plans: deliberate plans and crisis action plans. Both types of plans convey intent, inform decisions, describe objectives, assign tasks, allocate resources, and guide operations to accomplish a mission.

Deliberate Plans

Deliberate plans are developed under normal (steady state) conditions. This involves developing a concept of operations and concept of support for mitigating, responding to, and recovering from potential threats or hazards. Additionally, deliberate plans include detailed information on personnel, resources, projected time lines, assumptions, and risk analysis. Examples of deliberate planning products include:

- Federal Interagency Operational Plans
- Regional All-Hazards Plans
- Hazard-Specific Annexes

Crisis Action Plans

Crisis action plans are developed during time-sensitive conditions in response to an imminent or ongoing (current) incident. These plans address the deployment, employment, and sustainment of Federal resources in support of SLTT requirements. Planners' base crisis action planning efforts on the situation and risks that exist at the time planning occurs. Crisis action planning demands a high level of flexibility and responsiveness to continuously adapt to the rapidly changing conditions of an incident. Examples of crisis action planning products include:

- Incident Action Plans (IAPs)
- Incident Strategic Plans
- Advanced Operations Plan (AOP)
- National/Regional Support Plans
- Recovery Support Strategy (RSS)

² FEMA Operational Planning Keystone.

- Functional Plans (e.g., housing, power restoration)

The principal purpose of all deliberate planning activity is to inform and support incident operations. Planners modify deliberate plans to develop crisis action plans.

Crisis action planning and products are discussed in greater detail in chapter 9.

CHAPTER 3: STEP 1 - FORM A COLLABORATIVE PLANNING TEAM

Operational planning relies heavily on the engagement and participation of multiple partners and stakeholders across program, jurisdictional, and agency lines. It is fundamental to planning, and essential to successful plans, that planners identify and engage all appropriate entities that can contribute to the plan, or that will be affected by or will use the finished plan. Assembling a comprehensive planning team helps to ensure that finished plans have been thoroughly developed, adjudicated, approved, and prepared for execution.

This chapter informs prospective and experienced planners alike on how to initially scope the plan, a step which allows planners to identify, define, and develop appropriate planning teams. Team membership includes the core planning team, the collaborative planning team, and the Senior Leadership Steering Committee (SLSC). This chapter provides tools for scoping a plan by: (1) obtaining senior leader intent, (2) developing facts and assumptions, (3) documenting specified and implied tasks, (4) gaining senior leader approval, and (5) developing a work plan. This chapter also addresses the identification and rostering of key positions within planning teams, including how to communicate roles, responsibilities, and expectations. Figure 5 below describes the key inputs and outputs for forming a planning team.

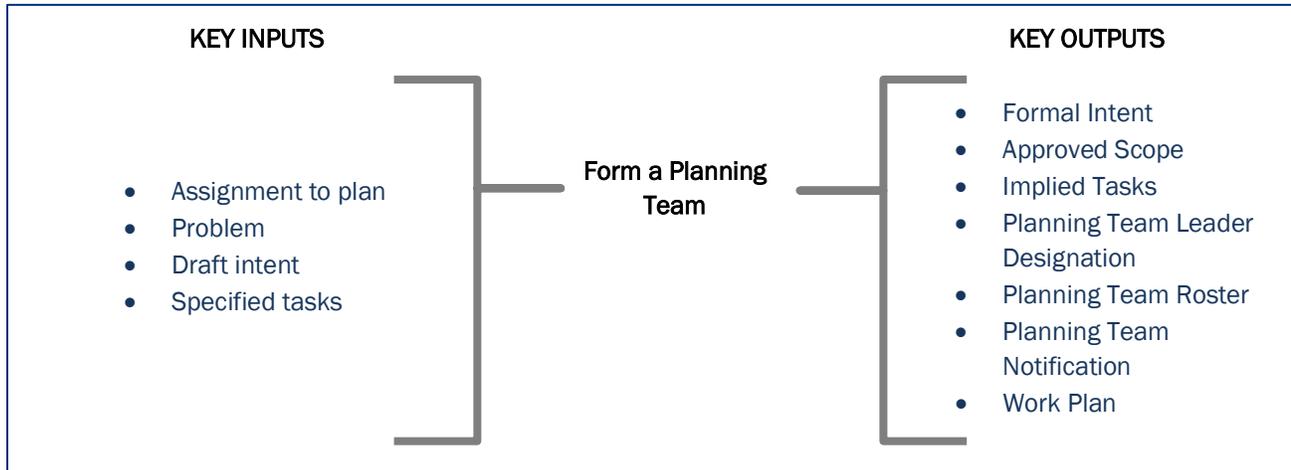


Figure 5: Forming a Planning Team.

SCOPING THE PLAN

The deliberate planning process usually begins with an assignment from a supervisor to a planning team leader, based on an identified issue, hazard, or threat that needs to be addressed (i.e., a problem). Problems may be identified through the judgment of leadership, risk assessments, training, exercises, or real-world incidents. When planners receive an assignment it is important that they engage in problem framing, or clearly defining the problem. Planners develop a scope for the

planning effort in order to understand the personnel needed to develop the plan, and to gain a clear understanding of the problem the plan will address. To scope a plan, it is necessary to obtain the senior leader's intent, develop a work plan, and send out a planning notification.

Senior Leader's Intent

The lead planner interprets and refines the planning assignment into a senior leader's intent. The senior leader's intent is a written intent statement that provides guidance from the leadership to those developing the plan, defines what the plan must accomplish, and provides other pertinent information. While this intent statement is written from the perspective of the senior leader who assigned the plan, it is usually the lead planner's responsibility to develop it. Upon receipt of an assignment, the planner develops a formal, written description of the problem that will be addressed by a plan, and this written description is submitted back to leadership for official approval—ensuring that the written intent matches the senior leader's intended direction.

Senior Leader's Intent Example

It is the senior leader's intent to have SLTT and Federal efforts help save lives, alleviate human suffering, ensure the continuity of critical government functions, maintain and/or restore services, and ensure that essential infrastructure is stabilized and repaired. In addition, State and Federal efforts will help create an operational environment conducive to short-term and long-term recovery and future hazard mitigation in the incident area.

This will be accomplished by:

- Stabilizing response operations within 72 hours through the rapid deployment of pre-identified resources to the incident area
- Establishing a joint State/Federal Unified Coordination Group to unify actions across the "Whole Community"

The intent includes the purpose (why the plan is being prepared), specified tasks (tasks that are specifically assigned by leadership to be included in the plan) and an end state (what the situation will be when the actions defined in the plan are completed); the end state is described in more detail in Chapter 5.

Scope

Following approval of the written description of the senior leader's intent, the planner develops an outline that details specified and implied tasks derived from the intent. Implied tasks, which are derived from specified tasks, are tasks that must be performed to accomplish a specific task or mission but are not explicitly stated by senior leadership. The approved intent statement and the outline of specified and implied tasks will serve as the basis of a plan's scope. The planner combines these documents into a "scope" document and again seeks leadership approval through the SLSC.

This approval signifies that leadership understands the risks, responsibilities, and scope of the plan. After the scope has been approved, the next step is to create a work plan that identifies the skill sets and project management burdens required to meet the needs identified in the scope.

Develop a Work Plan

After the SLSC approves the scope, and the types of expertise and required support have been identified, the planning team leader can create a work plan. The planning team leader is responsible for developing a work plan and updating it as the plan progresses. The overall planning process will require dedicated time and resources. Planners need to be able to effectively communicate their resource needs and the anticipated effort they will require from those assigned to participate in the planning process. In this way, the work plan provides a common tool for justifying and organizing work on the plan, and also maintains a schedule for plan development.

A work plan is a tool for managing planning projects that describes the planning project as a whole. Work plans require some level of project management expertise, which may vary with the complexity of the plan. In some cases, very detailed financial and personnel tracking tools such as Gantt charts, spend plans, and other project management tools will help planners define the expected needs of a plan, but in other instances much less detailed work products will suffice.

In all cases, however, work plans contain common components and a common purpose. FEMA work plans identify an outline of the approach and an established set of deliverables along a timeline. When the work plan is complete, the planning team leader communicates it to the SLSC and ultimately to the planning team. In cases where planners rely on contract support for plan development, a work plan will serve as the basis for a statement of work.

The work plan should include a plan description, identification of potential senior leaders to participate on the SLSC, timeline, milestones, deliverables (e.g., Information Analysis Brief, COA decision brief, plan review and approval), plan development budget, any major meetings, dates of in-progress reviews (IPRs), and other significant activities (see Table 1). The work plan should also identify and establish the necessary collaborative planning team members. IPRs with senior leadership should occur as often as necessary to make sure that the plan is still meeting leadership's expectations. The frequency of IPRs is dictated by the need for leadership to provide guidance during the planning process. Major meetings listed in the work plan can include meetings with the Regional Interagency Steering Committee and Regional Advisory Council for the region, or with another FEMA region that may have a similar plan, or any other type of meeting where access to subject matter experts (SMEs) can be maximized, thus saving time and money. Table 1 includes a description of each element in a work plan.

Table 1: Work Plan Elements

Work Plan Element	Description
Plan Description	Summary of the approved intent of the plan
Potential Senior Leaders	Senior leadership with the authority to approve plans and planning products
Timeline	The timeline establishes the overall schedule of the planning process from inception to delivery and completion
Milestones	Milestones are the interim timelines for individual deliverables
Deliverables	Standard primary deliverables are the Work Plan, Information Analysis Briefing, Course of Action (COA) Decision Brief, and Written Plan.
Budget	The budget identifies the anticipated expenditures associated with conducting the planning process
Major Meetings	Working Groups or planning team meetings, for conducting the planning process, that require coordinating schedules, time, and location
In-Progress Reviews	The meetings during which the planning team provides updates and summaries of planning milestones, prior to seeking formal approval from senior leadership
Teams Identification	Rosters that coincide with the scope of the plan, to identify required participation to produce a plan

The work plan allows the plan's partners and stakeholders to understand the scope and deadlines for the plan. For a State/Federal or tribal/Federal plan, the planning team leader should develop the work plan in coordination with the lead SLTT planner. The work plan allocates time for each of the major elements of the plan. The planning team leader may be required to provide the work plan to senior leadership or FEMA Headquarters.

Figure 4 (page 16) illustrates a rough estimate of the percentage of time that the core planning team typically devotes to each step and activity in the plan development process. The timeline included in a completed work plan shows when the core planning team is required to accomplish specific milestones and produce specific deliverables. Senior leadership's deadline for plan completion determines the planning timeline.

Another important component of a work plan that may be required is the spend plan. The spend plan should break down and identify estimated costs to support plan development. The spend plan may include costs for equipment, travel, supplies, and facility support.

Create a Planning Notification

Once the SLSC has approved the scope, and the planning team leader has developed the work plan and identified the types of roles needed to complete the plan, it is time to identify and assemble a planning team. The planning team leader will develop a planning notification that summarizes the nature of the plan to be developed, provides the major dates in the plan's development, and requests participation from representatives of FEMA divisions and branches, as well as personnel from supporting agencies outside of FEMA. The planning notification initiates the next phase of planning, and announces the beginning of more in-depth planning efforts with the larger planning group. In short, the planning notification serves as an invitation to plan. Based on this notification, the divisions and branches, along with supporting agencies, assign personnel to meet the identified requirements for the plan and therefore assume responsibility for the products and information that

their personnel contribute to the process. Through the planning notification, planners identify and staff planning team elements, including the SLSC, core, and collaborative planning teams.

For an example outline of a planning notification, see Appendix F of this document.

PARTS OF A PLANNING TEAM

The planning team comprises three coordinating elements: the senior leadership steering committee (SLSC), the core planning team, and the collaborative planning team (see Figure 6 below). The three elements are distinguished by their roles and responsibilities in the planning process.

Approve	Manage and Develop	Develop and Contribute
Senior Leadership Steering Committee	Core Planning Team	Collaborative Planning Team
Regional Administrators	Planning Team Lead	FEMA Subject Matter Experts
Division Directors	Program Area Experts	Emergency/Recovery Support Functions
Senior State/Elected Officials		States
Private Sector Representatives ³		Nongovernmental Organizations
NGO Representatives ³		Other Federal Agencies
FEMA Senior Leadership		Private Sector

Figure 6: Planning Team Parts, Roles, and Examples of Members.

Senior Leadership Steering Committee

The SLSC is the entity with the authority to approve plans and planning products. Regardless of the subject of the operational plan, planners must engage pertinent senior leadership with the intent of securing direction, approval, and document validation throughout the entire planning process. The SLSC is composed of experienced senior leaders who serve as the approval authority on the plan.

The composition of an SLSC varies depending on the type of plan being developed, the senior leader’s intent, and the purpose of the plan being developed. A larger plan that requires close coordination across many jurisdictional boundaries and program areas requires more senior leadership participation and membership. The planning team leader understands and communicates the importance of relevant SLSC membership, and works with members of the core planning team to identify and provide guidance to the SLSC.

³ Cannot drive or vote on decisions, but can attend as non-voting members of the team

SLSC for Particular Risks

A plan addressing a particular risk or function will require senior leadership from the agency/office with lead subject matter expertise for that topic. For example, (1) a plan addressing biological risks at the regional level must include SLSC representation from the Department of Health and Human Services Regional Health Administrator, (2) a radiological/nuclear plan at the national level may include the Radiological Emergency Preparedness Program, Department of Energy, and Department of Defense, among others, and (3) a mass care annex may have representation from the American Red Cross and other organizations from among the National Voluntary Organizations Active in Disaster.

The SLSC convenes at pivotal junctures of the planning process to review and approve the current state and future direction of the plan. The planning team leader communicates expectations and responsibilities to members of the SLSC before scheduled briefings or meetings. The planning team leader calls other meetings as needed, and keeps the SLSC briefed on issues related to the planning process.

Core Planning Team

The core planning team comprises the planning team leader and other planners as needed. Typically these other planners are SMEs, and ideally are planners within the mission area of the operational plan being developed. Senior leadership identifies these members and assigns them the task of developing the operational plan. The core planning team's main objectives are to engage partners and stakeholders, and provide an ordered structure for the planning effort, integrating all the elements of the planning process and personnel to meet the work plan's goal and schedule. The core planning team is responsible for ensuring the quality of the deliverables created, managing personnel, and facilitating workgroups, meeting the approved schedule, and maintaining products such as the work plan.

The core planning team is overseen by the planning team leader, who may be assigned by a branch chief, division director, section chief, or other FEMA senior leader. Once assigned, the planning team leader begins determining the composition of the core planning team. Upon establishing the core planning team, the planning team leader communicates to the group expectations, milestones, schedules, and responsibilities.

While ultimate plan development responsibility lies with the planning team leader, it is essential that the core planning team members work closely together, to maintain visibility and motivation, and secure ownership of the plan's success.

Collaborative Planning Team

The collaborative planning team is composed of individuals who have been identified as being responsible for representing their program area or organization. They are responsible for the development and accuracy of the plan's deliverables, and may also represent the end users who will ultimately take ownership of the plan. They may be SMEs in their fields, but more importantly, they must be able to contact the SMEs in their program area or organization to ensure a complete and accurate product. The collaborative planning team creates deliverables, and will be directed by the core planning team throughout the lifecycle of the plan.

The collaborative planning team may include SMEs from Federal or SLTT agencies; nongovernmental organizations (NGOs); other Federal agencies; and private-sector partners who have a significant stake or responsibility in the execution of the operational plan being developed. They must be able to speak with authority on policy, provide technical expertise, and provide accountability as it relates to their agency or department.

Collaborative planning team members may be called upon to:

- Provide functional and technical expertise
- Provide information and conduct analysis
- Help develop strategies and tactics
- Develop COAs
- Assist in the facilitation of information analysis meetings and COA workgroups
- Develop and present briefings (information analysis brief, COA decision brief).

PLANNING TEAM MEMBERS

Planning Team Leader

The individual designated as the planning team leader should have experience in the planning process and a thorough understanding of FEMA, the Department of Homeland Security (DHS), and relevant doctrine guiding emergency management activities. The planning team leader facilitates the planning process, and integrates all parts of the plan. She or he is not responsible for creating all the parts of the plan, but for ensuring that the team members conduct the process appropriately. As the person who will be responsible for managing the development of plans, the planning team leader must possess an in-depth knowledge of the planning process and the requirements of a particular plan.

The planning team leader does not necessarily need to be regularly employed in a planning role, and may be a program-area expert responsible for conducting planning activities. If the planning team leader is not regularly employed in a planning role, he or she should ensure that a planning SME is part of the core planning team.

Responsibilities of the Planning Team Leader

- Interpret and communicate guidance from senior leadership
- Engage with the collaborative planning team to develop the desired product
- Facilitate the planning meetings
- Delegate tasks and responsibilities to specific groups and individuals
- Develop work plans, action plans, and milestones
- Ensure that the end product is consistent with established doctrine
- Brief and update senior management on progress and major issues

A good planning team leader will have the ability to build persuasive arguments and defend FEMA policy. She or he will be competent in all forms of communication and will be familiar with project management concepts. Previous experience participating in a FEMA planning effort is also important to the success of a planning team leader.

As the party responsible for building a planning team, the planning team leader identifies additional personnel who need to be involved in the planning process. The planning team leader identifies in the work plan which external agencies or internal FEMA functions should be represented, and requests participation through the planning notification.

Planners

A planner will fill several different roles during the planning process, and therefore must have a variety of skills. Most importantly, a planner must be a good coordinator. A planner must be able to work with representatives across multiple mission areas to identify needs and capabilities, and then accommodate or incorporate those needs and capabilities. A planner's ability to think critically and to analyze information is crucial. As large amounts of information become available while researching the problem, a planner formulates the relevant information into a coherent format. Plans typically involve communicating complicated ideas and information, and planners must be able to organize content logically and write in a manner that is clear, concise, and grammatically correct.

The planner must be a good time manager, and have the ability to meet deadlines as well as maintain a sense of resolve within the team. This is especially important with regard to crisis action planning.

The results of the planning effort will be an executable plan. Any planning initiative results in a set of planning documents to support the accomplishment of a goal. A FEMA planner must have well developed organizational and project management skills to maintain the timetable of deliverables, as well as to work with FEMA partners and stakeholders.

Effective planners should have well developed presentation skills, as they will brief leadership within FEMA, as well as present the plan to stakeholders and partners. Planners frequently provide

presentations to other levels of government, private-sector entities, and other professionals. These presentations place the specific project or issue in the context of the audience's plans.

A planner should possess a foundational knowledge of FEMA's mission, authorities, and the relationship of FEMA's partners and stakeholders to the plan. Since every project is different, and each FEMA region is unique, a good planner must be adaptable and receptive to new ideas. Planners must understand statutory authorities and the restraints they place on planning efforts.

Subject Matter Experts

A SME has specific knowledge and insight, and is able to provide solutions to problems identified by the planning team. The experience of SMEs validates the strategies outlined in the plan. Many of FEMA's stakeholders and partners who are members of the core or collaborative planning team also double as SMEs, because of their intimate knowledge of capabilities, authorities, and areas of responsibility.

Joint Plan

All plans should be written in coordination with as many partners and stakeholders as applicable. In some cases, a "joint plan" may be developed with another Federal agency or a SLTT government in which that partner invests just as much time, effort, and coordination in the process as FEMA. Planners will be working with other organizations during the development of these plans. These plans are directive on all organizations that are signatory to the plan. In these cases, both partners would serve fully on the SLSC, abide by the "FEMA Operational Planning Manual" process/format, and sign the final plan as equal partners.

SMEs must be able to speak authoritatively about their respective areas of expertise, and must have a firm working knowledge of the resources and capabilities that can be leveraged in order to execute the plan. SMEs are chosen to participate because of the experience and knowledge they have of their organization.

Planners identify expertise needs and request SMEs based on the skill sets needed for a particular plan. Once SMEs are requested by skill set, the individual SMEs are identified by the senior leadership of the organization from which the SME will be provided.

Partners and Stakeholders

Partners are directly involved in the accomplishment of a plan's mission. They provide needed resources or capabilities, and share in the risk of the mission, which means they hold some or all responsibility for meeting one or several objectives during an incident. Stakeholders include organizations and individuals who are vested in how a plan is designed and in the outcomes of executing the plan, but who do not have direct responsibilities that contribute to the completion of the mission. Stakeholders provide support to ensure that FEMA operational plans are complete and

inclusive. Participation in the planning process also benefits stakeholders by heightening their awareness of threats and hazards, as well as anticipated actions across the various mission areas.

Potential partners for FEMA operational plans may include:

- Representatives from SLTT governments
- Officials from other Federal agencies, ESFs or RSFs
- FEMA private-sector external affairs representatives
- NGO representatives

Stakeholders may include:

- Civic and community associations
- Representatives of those with access and functional needs

The scope of the plan will guide planners in identifying partners and stakeholders that should be involved in the process. Stakeholders may be identified and included as the planning process evolves; the planning team leader will be responsible for managing the level and breadth of their engagement.

In some cases, partners and stakeholders may help write the plan. Partners may even be signatories to the plan. In these cases, the plan is considered a “joint plan.” The planning team leader is responsible for determining whether the authorities and responsibilities for implementing the plan justify the development of a joint plan.

Partners and stakeholders need to receive information on the planning process, and must maintain a shared understanding of their roles and responsibilities, as well as how much time they will be expected to dedicate to the planning process. The following are approaches for communicating with partners and stakeholders:

- Sending out the planning notification and including a letter from the FEMA regional administrator to show the leader’s commitment, and following up with a phone call to discuss questions and concerns
- Conducting online surveys, phone interviews, or in-person briefings, or hosting roundtable discussions
- Maintaining contact and sharing information with partners and stakeholders
- Communicating mutual benefits as a result of partner and stakeholder participation (satisfying grant requirements, etc.)

Any relevant feedback or information gathered from partners and stakeholders should be analyzed and incorporated into the planning process as appropriate. Throughout the period of partner and stakeholder collaboration, planners should clearly communicate how they will use their feedback to inform the plan.

Engage the Whole Community

Experience has shown that it takes all aspects of a community (non-profit; the private sector; and the public, including survivors)--not just the government--to effectively prepare for, protect against, respond to, recover from, and mitigate any incident. FEMA must therefore sustain and further strengthen its already strong partnerships and relationships, and effectively mobilize and support resources, expertise, and capabilities from all levels of government, the private sector, the non-profit community, and the public. FEMA works with partners and stakeholders from every sector to enable communities to develop collective, mutually-supporting local capabilities. Through this work, communities can withstand the potential impacts of incidents, respond quickly, and recover in a way that sustains or improves the community's overall well-being.

Engaging the whole community in the planning process can provide the added benefit of bringing together diverse points of view and developing atypical avenues of support. When engaging groups, agencies, and industry liaisons that are new to, or unfamiliar with, emergency management, it may be helpful to provide a baseline level of knowledge through a workshop on NIMS, current incident planning efforts, and other emergency management topics. This will increase the effectiveness of groups new to emergency planning.

CHAPTER SUMMARY

At the conclusion of Step 1, planners have assembled a planning team. To accomplish this, planners obtain the senior leader's intent, develop a scope, develop a work plan--including timelines--for successful completion of plans, and identify the personnel who make up the planning team. Figure 7 on the next page depicts the makeup of a planning team.

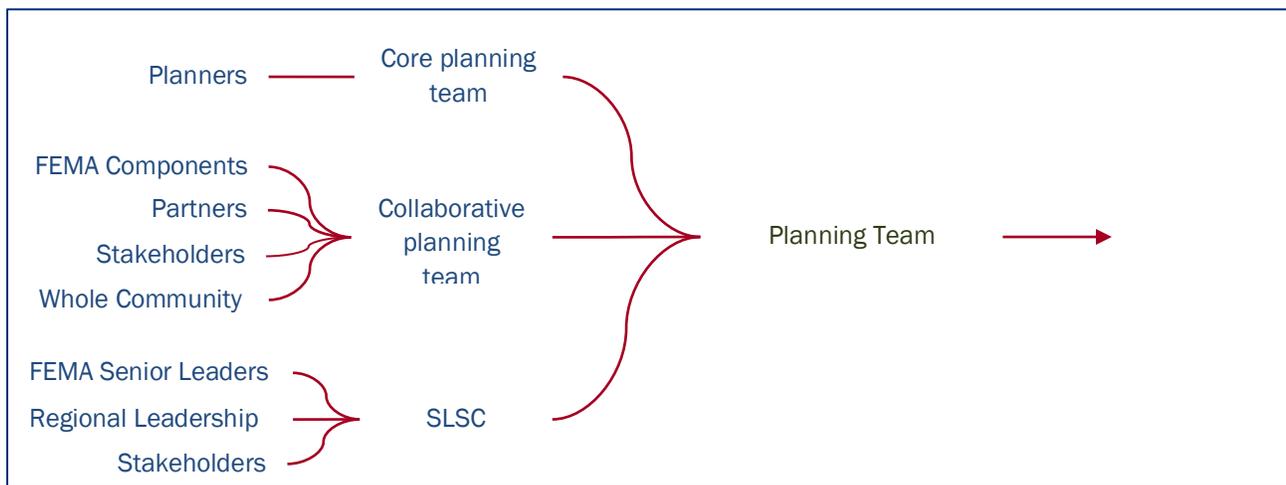


Figure 7: The Planning Team.

CHAPTER 4: STEP 2 - UNDERSTAND THE SITUATION

This chapter outlines activities in the second step of the planning process: understanding the situation. Gathering, analyzing, and applying information provides the basis for the actions laid out in a deliberate plan.

This chapter emphasizes the importance of understanding the situation before plan development and during plan maintenance. To gain and maintain an understanding of the situation, planners conduct information analysis. This chapter explains how to conduct research and analysis, develop a threat or hazard scenario, determine physical effects and operational impacts, and identify critical facts and assumptions. Figure 8 below describes the key inputs and outputs of understanding the situation.

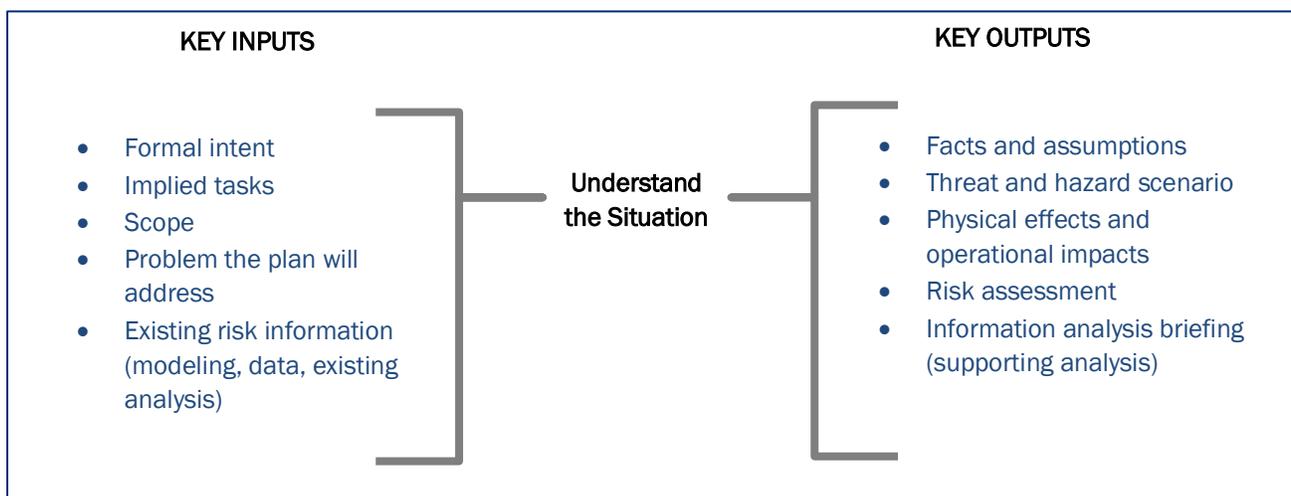


Figure 8: Understand the Situation.

THE INFORMATION ANALYSIS PROCESS

Information analysis is the process planners use to inform operational decisions. Based on the scope of the plan, the entire planning team is engaged to identify, research, collect, and assess the information that will drive decision making and provide a factual basis for the plan. Information analysis is a collaborative effort that depends on team work and cooperation among all planning team members, partners and stakeholders. Information analysis is universal in its application to FEMA plans. Planners should conduct information analysis by following the model outlined in this manual, to ensure that appropriate information is available and appropriately used by planners.

- Research
- Analysis
 - Identify Threat/Hazard and Develop Planning Scenario
 - Determine Physical Effects and Operational Impacts
 - Identify Facts and Assumptions

Experience has shown that skipping steps will result in planners lacking information needed later in the planning process.

The purposes of research and analysis are to provide a factual basis for planning decisions, and to provide support for decisions made in the development of planning products. Depending on the scope of the plan, research will include detailed threat or hazard and incident characteristics, modeling of the impact of incidents, research on the affected area, and operational research into the available resources and interests represented on the planning team. For information analysis, wherever possible, information should be gathered from established and authoritative sources.

Examples of Information Sources

- U.S. Census Bureau
- National Weather Service
- Geospatial Analysis Concept of Operation
- SLTT databases
- Homeland Security Infrastructure Program Gold Data Packages
- United States Geological Survey (USGS)
- State Hazard Mitigation Plans
- Subject-area Agency Databases
- Historical Data

RESEARCH

Research is continuous throughout the planning effort, and includes identification of facts, necessary assumptions, resources, capabilities, and functions. Research also refines the intent and scope of a plan into a scenario, and helps to identify secondary and tertiary effects. Research is essential in the development of incident objectives and tasks, which will be discussed further in chapter 5. The more focused planners are about what they need to gain from research, the more effective and efficient their research will be.

The planning team leader will define the breadth of research required, based on the complexity of a plan. Planning team members provide input that will assist the core planning team in understanding the degree to which stakeholder activities, the threat or hazard faced, and the problem to be solved interact to form the overall complexity of the plan. This will help set the research requirements. As research progresses and the planning process continues, the planning team may identify additional research requirements and revisit this step to further inform decisions. Although collection of information is the first step in describing the situation, it is continuous throughout the planning process because specific facts may change over the course of the plan's development, and earlier assumptions may be proven false or may become facts. Therefore, information must be regularly verified at each step of the planning process.

Research yields situation information that describes the area of operations, including weather and climatology; topographical, political and geographic boundaries for operational consideration; and transportation corridors (air or ground routes for large-scale movement of resources and commodities). Although research will have mission area-specific elements, most information collected is grouped into the following categories of research, each of which is described in detail below:

- Operational environment
- Capabilities
- Resource limitations and shortfalls

Operational Environment

Those executing the plan must understand the environment and geography in which they will employ the plan. When possible, the environment and geography should be identified, so that those executing the plan can best prepare for natural or other hazards and threats that may be encountered. The environment can include the relevant demographic, historical, cultural, and socioeconomic factors; politics; and the geography of the area. The operational environment includes its size, political boundaries, and other factors that can impact the way in which operations will be organized. Large geographic areas, or areas with complex political boundaries, may prompt planners to anticipate more complicated organizational structures and divisions in order to properly execute operations. This may include making decisions regarding whether to organize operations geographically, functionally, or a combination of both. Operational plans may be ineffective without a sense of geographic context.

Capabilities

Capabilities are means to accomplish a mission, function, or objective. All operations rely on authorities, policies, programs, staff, funding, and available resources. The planning team gathers information to identify available capabilities and sources for capabilities.

Resource Limitations and Shortfalls

Limitations are inherent characteristics (e.g. distance from an incident, or the time required for delivery) that restrict the way in which a resource can support an incident. Shortfalls occur when an inadequate number of resources are available to meet the requirements of the mission. Identifying limitations and shortfalls aids the operator in making sound decisions with regard to the deployment and employment of available resources.

Research Sources

Potential sources of information for research are as varied as operational plans. Because of the breadth of information often required, planners should maximize the use of information that has already been gathered. Research sources yield information that will be used to inform planning decisions.

Risk information

Risk information that describes vulnerabilities and anticipated impacts is gathered by many public and private sector partners. Planners are responsible for identifying as many available research sources as possible, to help develop a clear understanding of the incident and operation described in the scope of the plan.

Modeling and Simulation

Modeling is a tool to help planners predict the effects and potential losses of various scenarios. Several tools and groups can assist planners with modeling; below are examples. Planners should discuss potential resources for modeling data with the FEMA Geospatial Information Office.

Hazus is a nationally applicable tool for estimating potential losses from earthquakes, hurricane winds, and floods. Hazus uses geographic information system technology to estimate physical, economic, and social impacts of disasters. It can be used to develop earthquake, hurricane, or flood scenarios to describe location, extent, and probability of the hazard across the planning area. Hazus can also describe potential impacts to critical facilities, and estimate losses from other hazards, such as landslides, wildfires, and dam or levee failure.

Multiple Federal entities conduct modeling and simulation activities, and planners should conduct a broad survey of available simulation and modeling tools, resources and products. For example, planners can use the U.S. Department of Energy's National Laboratories as resources to conduct modeling. Planners should work with their respective program offices to contact liaison officers to laboratories and other available sources for modeling and simulation.

Strategic National Risk Assessment

The Strategic National Risk Assessment (SNRA) was executed by the DHS Office of Risk Management and Analysis in support of "Presidential Policy Directive 8 (PPD-8), National Preparedness," which called for the creation of a National Preparedness Goal, a National Preparedness System, and a National Preparedness Report. Specifically, national preparedness is to be based on core capabilities that support "strengthening the security and resilience of the United States through systematic preparation for the threats that pose the greatest risk to the security of the Nation, including acts of terrorism, cyber-attacks, pandemics, and catastrophic natural disasters."

As part of the effort to develop the National Preparedness Goal and identify core capabilities, the Secretary of Homeland Security led an effort to conduct a strategic national risk assessment to help identify the types of incidents that pose the greatest threat to the Nation's homeland security. The assessment was used:

- To identify high risk factors that supported development of the core capabilities and capability targets in the National Preparedness Goal

- To support the development of collaborative thinking about strategic needs across prevention, protection, mitigation, response, and recovery requirements
- To promote the ability for all levels of Government to share common understanding and awareness of national threats and hazards and resulting risks so that they are ready to act and can do so independently but collaboratively

State and Local Hazard Mitigation Plans

Mitigation planning conducted under section 322 of the Stafford Act results in detailed priority-setting documents that include a risk profile of the jurisdiction that owns the plan. This information is often available publicly, and partners engaged on the planning team may have direct knowledge of the studies and analysis that produced the understanding of risk in that community. While mitigation plans are typically developed to enable the setting of long-term goals and objectives, they also provide an excellent and rigorous source of risk information. Such information should be used to drive operational decision making during the planning process. A local mitigation plan will include an evaluation of the potential impacts of each threat or hazard on the people, the economy, and the built and natural environment. The plan will also outline each community's overall vulnerability and significant risks. A State hazard mitigation officer and State hazard mitigation plan are key resources for useful hazard data and risk assessment information.

Threat and Hazard Assessment (THIRA)

Data

Data comes in many forms and formats. FEMA operational plans require internal consistency (the same format for data used within individual plans) and external consistency (consistency with accepted standards for data—e.g. using the U.S National Grid for geospatial data. SMEs in a planning team can help to ensure that data are collected and represented in the appropriate format.

Data collected during research is often in a non-standard format, and the core planning team must evaluate the data and ensure internal consistency.

The Threat and Hazard Identification and Risk Assessment (THIRA) is a tool that allows a jurisdiction to understand its threats and hazards, and how the impacts may vary according to time of occurrence, season, location, and other community factors. This knowledge helps a jurisdiction establish informed and defensible capability targets. The THIRA serves as a consistent foundation for many other follow-on planning initiatives, such as estimating capability requirements and hazard mitigation planning. A THIRA conducted in accordance with CPG 201 will provide the jurisdiction with a comprehensive hazard catalogue for the threats and hazards of greatest concern, community-

defined desired outcomes, a risk overview with hazard profiles and estimated impacts, and capability targets.

Fusion Centers

Fusion centers provide analytical products, such as risk and trend analyses, that are derived from the systematic collection and evaluation of threat information. Fusion centers also provide access to national-level intelligence, and can serve as a mechanism to de-conflict information.

FEMA Studies and Analysis

Planners should review documents the Agency has already produced, including earlier plans, National Flood Insurance rate maps, risk-mapping analysis, and non-regulatory planning products developed under the National Flood Insurance Program, such as depth grids and fact sheets. If the information is outdated, planners should identify what needs to be updated. Planners should gather all existing authoritative documents relevant to the plan.

Statutes

Planners should conduct a review of the legal authorities (Federal, SLTT) that directly apply to the plan. Planners should obtain the primary agency's most current doctrinal guidance (if any), since it will often provide guidelines and/or restrictions on goals and COAs. Planners should also identify the most current related plans from other organizations and agencies. Planners should use draft documents with caution, since they are not approved guidance. Plan specifics may change before drafts are approved, necessitating adjustments during the planning effort.

Resources from Other Planning Initiatives

Planners should capitalize on the experiences of other planners. Leveraging expertise and products from other FEMA offices and Regions can greatly assist a planner in the development of a plan. Taking advantage of existing analysis not only can save time, it also provides the opportunity for one region to validate or update the analysis of another region. Planners should attempt to observe the briefings of other regions (IAB, COA, and final plan) regardless of program area. Similarly, SLTT plans and experiences should inform Federal planning. By reviewing existing FEMA emergency or contingency plans, planners can:

- Identify applicable authorities and statutes
- Identify organizational arrangements used in the past
- Learn how some planning issues were resolved in the past

ANALYSIS

Analysis is the detailed examination of information in order to gain a better understanding of it. Compiling data through research is not enough to provide the planning team with the information necessary to make sound decisions. Analysis links one element of research to another by identifying connections and putting information gained through research into operational context. Through analysis, planners develop a clear understanding of the situation and existing relationships; analysis

also helps to drive the development of planning products. The planning team conducts analysis of the information they have collected through research in order to have a clear understanding of what the plan must address, and a factual basis for the decisions made in the plan.

The information yielded through research is often complex, and the planning team focuses on applying research to operations. The planning team works to understand the hazard(s)/threat(s) that the plan will address, develop an accurate scenario for which to plan, determine what the physical effects and operational impacts of that scenario will be, and identify facts and assumptions. Figure 9 below depicts how research leads to analysis.

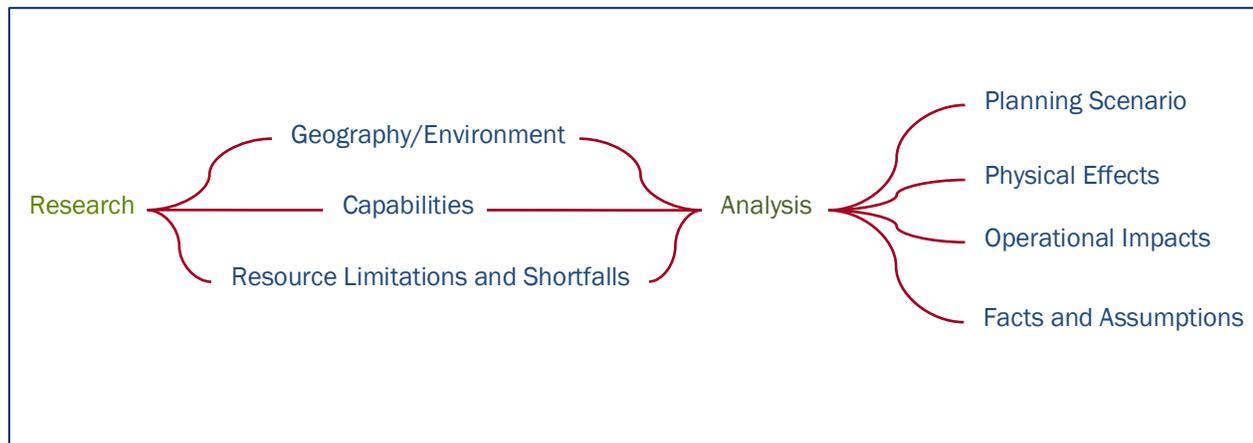


Figure 9: Research to Analysis.

Most plans are created to address a complex problem, and the challenges of addressing the problem through FEMA operations. Often the intricacy of the incident is due to complex relationships among various FEMA components, partners, and stakeholders. Therefore, conducting an analysis of the information collected is critical to ensuring that the planner has the full picture, and can identify relationships between the components.

No planner is an expert in all known and potential threats and hazards. The collaborative planning team should leverage the knowledge and resources of the emergency management community, including those with experience supporting all five mission areas outlined in the National Preparedness Goal: Prevention, Protection, Mitigation, Response, and Recovery. By engaging a group of recognized experts throughout the preparedness life-cycle, the planner is able to gain efficiencies through shared resources, and consistent application of hazards identification and analytical methodologies.

Identify Threat/Hazard and Develop Planning Scenario

While the SLSC selects and prioritizes the threat or hazard that a plan addresses, it is often the job of the planning team leader to translate a given threat or hazard into a planning scenario, using the research and analysis that have been conducted. Based on this analysis, scenarios may address the worst-case scenario or a specific hazard, depending on the intent of the plan.

Suppose, for example, that senior leadership has identified inland flooding as an incident for which a region needs to plan. Part of the analysis of the flooding threat should be to (1) identify river basins that pose the largest threat to infrastructure and people, and (2) develop a scenario that includes the direst impact, not necessarily the most likely impact (depending on the scope of the plan).

Planners identify the specific elements of the scenario by using input from SLTT partners, historical data, and predictive modeling. The process outlined in the “Threat and Hazard Identification and Risk Assessment Guide: Comprehensive Preparedness Guide (CPG) 201”⁴ provides a comprehensive approach for assessing risks and the impact associated with all types of threats and hazards; it also identifies a method for assessing a broader range of capabilities. The process of conducting a threat and hazard identification and risk assessment results in a set of capability targets for all mission areas of national preparedness. Planners should examine the pertinent State and regional THIRA(s), regional planning initiatives, and exercise after-action reports, because those assessments and reports may have already identified and analyzed the scenario the planning team seeks to develop. Figure 10 below illustrates how the planning scenario informs and responds to information developed during research, generating facts and assumptions.

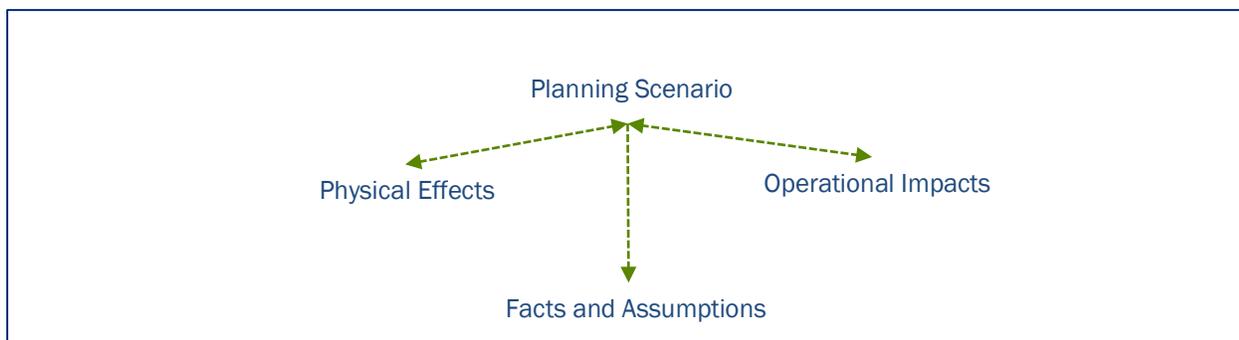


Figure 10: Informing the Planning Scenario.

Planners describe the scenario, the effects, and the operational impacts in maps, overlays, and fact sheets. The team includes this information in the IAB for approval, and for inclusion in the plan later in the planning process.

Determine Physical Effects and Operational Impacts

As with the threat/hazard scenario, determining physical effects and operational impacts is a way of presenting research and analysis in an operational context. Once the planning team develops the scenario, the planners analyze each component of the scenario to determine its physical effects and operational impacts. This analysis results in a set of “planning factors,” which impact the capabilities and resources required to execute a plan.

⁴ DHS, “Threat and Hazard Identification and Risk Assessment Guide: Comprehensive Preparedness Guide (CPG) 201,” (Washington: DHS, April 2012).

The planning team summarizes the information, focusing on the most significant risks and vulnerabilities, not only to inform the plan, but also to communicate findings to the SLSC, partners, and stakeholders. Information in the plan should be written in a manner that will communicate the analysis and findings to a non-scientific audience.

Identify Physical Effects

Physical effects characterize the scope, severity, and magnitude of the scenario. Typically, an assessment of physical effects highlights the unique characteristics of the threat or hazard in question, and provides a quantitative and qualitative measure of the threat or hazard. Physical effects include factors such as rain, liquefaction, storm surge inundation, blast zone, and fallout zone. There are often interactions between physical effects (e.g. wildfires resulting from earthquakes).

Example of Physical Effects

- Hurricane
 - Saffir-Simpson Category: 3 (major)
 - Sustained Winds: 111-129 mph / 96-112 kt / 178-208 km/h

Determine Operational Impacts

Operational impacts are the damages, effects, and outcomes of the scenario. Examining historical reports of power failure, water system degradation, or housing damage are examples of this type of research. This research identifies vulnerabilities, consequences, and challenges associated with the scenario. The outcomes of researching operational impacts will include a summary of the affected systems. This summary will be the basis for setting operational objectives.

Example of Operational Impacts

- Hurricane
 - Devastating damage will occur: Well-built framed homes may incur major damage or removal of roof decking and gable ends. Many trees will be snapped or uprooted, blocking numerous roads. Electricity and water will be unavailable for several days to weeks after the storm passes.

The planning team should organize operational impacts by the core capabilities. There may be more than one type of operational impact in each core capability. Operational impacts are based on survivor and response needs and, when analyzed, provide the basis for Response, Recovery, and Mitigation capability requirements.

Planners should summarize the physical effects and operational impacts in a document or briefing such as the IAB, which is typically delivered at the end of Step 3 (Determine Goals and Objectives).

Identify Critical Facts and Assumptions

Information analysis produces two categories of information: facts and assumptions.

Facts

Facts are statements of *known* data concerning the situation that can be substantiated. Successful plans are based on facts such as the nature of the threat or hazard and anticipated operational impacts. Examples of facts include laws, regulations, terrain maps, population statistics, resource inventories, and historical data.

Assumptions

Assumptions consist of information accepted by planners as true in the absence of facts. Assumptions are *not* predictions. Assumptions are only used when facts are unavailable. Using assumptions allows planners to further define the scenario, identify potential response requirements, and move forward with the planning process. An assumption is appropriate if it meets the tests of validity and necessity.

Validity means determining whether the assumption is likely to be true. “Assuming away” potential problems, such as weather, or trying to predict the outcome of a threat, may result in an invalid assumption.

Necessity, in the context of assumptions, means determining whether the assumption is essential for planning. If planning can continue without the assumption, it is not necessary and should be discarded. Assumptions are replaced with facts whenever possible.

Examples of Assumptions

- Precautionary evacuations of the special-needs, medically fragile, and institutionalized populations will occur
- State resources available through an Emergency Management Assistance Compact and other mutual aid agreements will be in place

PLANNING FACTORS

Having understood and categorized the results of research, planners compile the results of their analysis into planning factors. Figure 11 on the next page demonstrates how analysis is categorized and applied to planning factors.

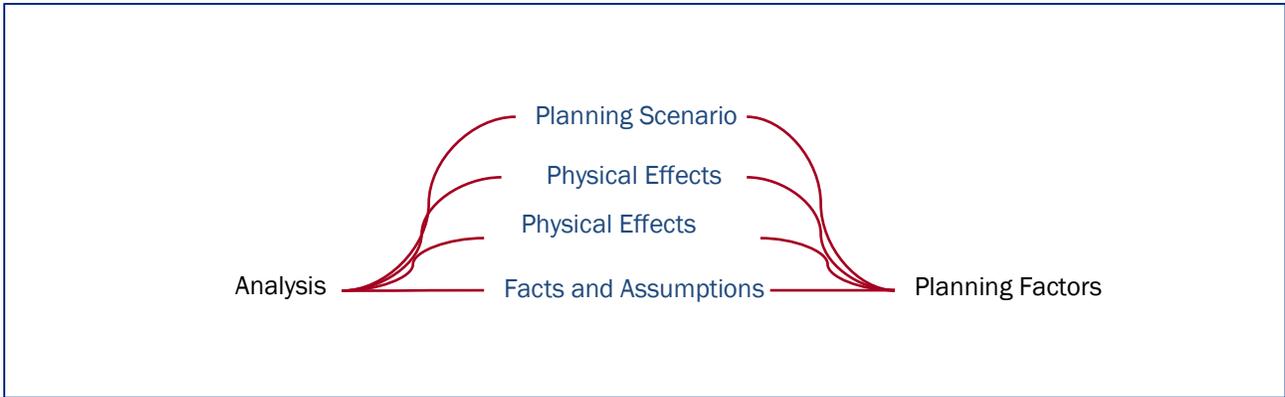


Figure 11: Analysis to Planning Factors.

Planning factors are summations of research and analysis. They are made up of the physical effects, operational impacts, facts, and assumptions which result from the careful study of the scenario that the plan addresses. As a tool for placing research and analysis in operational context, planning factors help ensure that planners develop COAs for relevant tasks and activities. For example, in the sample planning factors presented in the text box below, unless debris prevents access, or provides a direct threat to life or property, it may not be a problem addressed in the plan.

Generating and organizing reliable planning factors serves as the basis for decision making, and for developing a concept of operations and COAs for a plan. Planners will use the planning factors to develop objectives, and identify and assess impacts by core capability. Planning factors serve to guide the development of courses of action later in the planning process.

Planning factors may be quantitative or qualitative, depending on the scope and substance of research and analysis, and on the problems identified and addressed in the plan. However, in all cases, planning factors are used to describe a problem (based on an analysis of populations, infrastructure and phenomena) and to set the stage for collaborative COA development in the broader context of core capabilities.

To ensure that planning factors lead to relevant COAs, planners must consider operational context. Often this means considering information analysis in terms of a hierarchy of needs, beginning with immediate life-saving triage (e.g. search and rescue, emergency medical treatment), and then life sustainment needs such as water, food and shelter. Doing so avoids the tendency to reduce analysis to a number, or a quantitative measure of an impact.

For example, in a community where the homes are still intact and the power distribution system can be restored within days, it may make sense to set up a temporary "hub and spoke" distribution system for food and water. In cases where the homes are more significantly damaged and/or the power is not easily restored, it may make better sense to evacuate the population.

Examples of Quantitative Planning Factors

- Debris
 - 21M tons of debris are generated
 - 2.9M tons eligible tree debris
 - 2.4M tons brick/wood
 - 15.5M tons ineligible “other tree debris”
- All transportation modes hampered by debris
- 156,000 buildings are at least moderately damaged
 - >3% of the total number of buildings in the region
- 6,500 buildings are completely destroyed
- >\$50B economic losses

Core Capability Analysis

The planning team conducts analysis of the planning factors (1) to identify and understand how core capabilities in the mission areas of Mitigation, Response, and Recovery will be impacted, and (2) to serve as the basis for establishing objectives by phase (see Chapter 5), and the level of support required to meet the objectives. The analysis of the core capabilities of the whole community to address an incident is necessary to accurately understand the risks presented and triggers for the timing and scope of Federal support that may be needed. Capability analysis includes assessing existing Federal resources and their respective levels of capability, including information about their location, constraints and procedures for accessing them. Secondly, capability analysis includes available SLTT, and other whole community resources.

Planners should note that estimated impacts by core capability are identified as part of the THIRA process. Figure 12 below illustrates how planning factors are applied to core capabilities in Mitigation, Response, and Recovery mission areas.



Figure 12: Planning Factors by Core Capability.

Figure 13 provides an example of how planning factors allow planners to conduct core capability assessments, matching anticipated impacts against current capacities, to better estimate unmet requirements. Appendix K of this document provides a sample of how core capability analysis can be represented in fact sheets.

		Planning Factor	Core Capability Assessment	Anticipated Shortfall/Challenge
Mission Areas	Core Capabilities	[Description]	[Ability to address planning factor]	[Unmet requirement]
Common	Planning			
	Public Information and Warning			
	Operational Coordination			
Mitigation	Community Resilience			
	Long-term Vulnerability Reduction			
	Risk and Disaster Resilience Assessment			
Response	Threat and Hazard Identification			
	Critical Transportation			
	Environmental Response/Health and Safety			
	Fatality Management Services			
	Infrastructure Systems			
	Mass Care Services			
	Mass Search and Rescue Operations			
	On-scene Security and Protection			
	Operational Communications			
	Public and Private Services and Resources			
Recovery	Public Health and Medical Services			
	Situational Assessment			
	Economic Recovery			
	Health and Social Services			
	Housing			
	Infrastructure Systems			
	Natural and Cultural Resources			

Figure 13: Core Capability Analysis and Planning Factors.

Catastrophic Scenarios

Applying planning factors to core capabilities is not limited to the assumption that Federal resources and capabilities will only be used to address SLTT government resource/capability gaps. In catastrophic scenarios that result in extraordinary levels of mass casualties, damage, or disruption that severely affects the population, infrastructure, environment, economy, national morale, and/or government functions, proactive notification and deployment of Federal resources in anticipation of or in response to catastrophic events will be done in coordination and collaboration with SLTT governments and private-sector entities when possible.

CHAPTER SUMMARY

At the conclusion of this chapter, planners should understand how to conduct research and analysis, identify threats and hazards in order to develop the planning scenario, identify physical effects, determine operational impacts, and identify critical facts and assumptions. The research and analysis that planners conduct will aid them when they develop the IAB.

CHAPTER 5: STEP 3 - DETERMINE GOALS AND OBJECTIVES

This chapter explains how to develop more precise information from the situational analysis that began in the previous chapter. During Step 3, planners determine the operational priorities, develop the mission statement, describe the end state, identify operational phases, determine the incident goals and objectives, and develop and obtain senior leader approval of the IAB. All of these tasks help with plan development and identification of COAs that occur in the next step. These steps are all vital to defining, for the plan being developed, what mission success will look like. Figure 14 below illustrates the key inputs and outputs associated with determining goals and objectives.

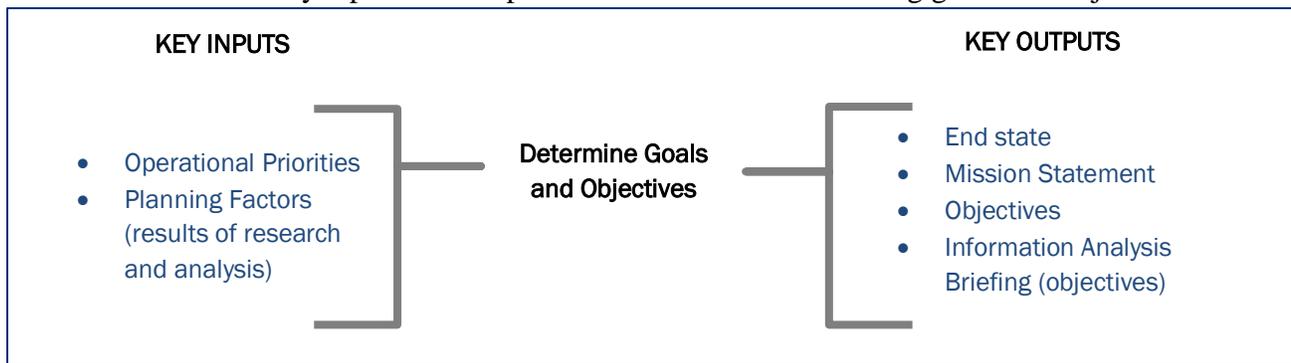


Figure 14: Determine Goal and Objectives.

DESCRIBE END STATE

The end state describes the desired situation that will exist when the operation is successful. Senior leadership or the SLSC determines the end state, though just as in the case of the senior leader’s intent, the planning team leader refines the end state to meet leadership’s expectation.

Example End State

Displaced populations have returned to permanent housing, infrastructure has been restored, and the community is more resilient to future disasters than it was prior to the incident.

DEVELOP MISSION STATEMENT

A mission statement defines the plan's purpose and primary operational objectives. This written statement demonstrates the way in which the planning team proposes to address the intent and scope of the plan, based on the scenario and the physical and operational impacts. The function of the mission statement is to define both the mission and the key measure or measures of the plan's success. Its main audience is the SLSC and all relevant partners and stakeholders. The mission

statement should be a sentence or a short paragraph that describes what must be accomplished to achieve success. It clearly and concisely describes the elements or essential tasks related to the “who, what, when, where and why” of the plan. The mission statement forms the basis for planning, and is included in the IAB to be approved or revised by the SLSC.

More than any other element of a plan, a clear definition of the mission (and supporting tasks) enables unity of effort and consistency of purpose among the groups and activities involved in both developing and executing the plan. Every other plan element should be designed and evaluated according to its contributions to accomplishing the mission and achieving the desired end state.

Developing the mission statement is a collaborative effort. The core planning team drafts the mission statement and presents it to the SLSC at the IAB, for review and approval. The following steps describe how the planning team develops the mission statement:

1. The planning team first identifies the specified and implied tasks it is trying to address
2. The team identifies the mission-essential tasks from among these specified and implied tasks. A mission-essential task is one of such importance that without its completion the mission will fail
3. The planning team then combines the purpose, end state, and essential tasks into a specific and measurable description of the mission objectives

When the above steps are completed, the planner should ensure that the mission statement answers the following questions:

- What does FEMA intend to accomplish as a result of this plan (i.e., end state)?
- What goals or objectives will the FEMA plan accomplish?
- Who is responsible for executing the mission?

IDENTIFY RELEVANT OPERATIONAL PHASES

Once the end state is defined, it is important to identify the operational phases that the plan will encompass.

Operational Phases

Operational phases provide a common structure for organizing tasks and actions over time. Phases are distinct in time, are distinguished by the character of the activity performed, and are assigned discrete end states, i.e., conditions which must be met for the phase to be complete. Since Response, Recovery, and Mitigation operations occur simultaneously, planners use phases to help organize tasks. While phases are distinct, tasks within phases may overlap as operations transition from one phase to another. The phased approach shapes effective planning by grouping tasks into common operating periods. In a crisis action plan, planners will evaluate and adapt tasks for each phase identified in a deliberate plan, to meet the needs of the incident.

Phases also organize multiple Agency tasks required to meet incident objectives. Typically, organization of Agency tasks occurs at the incident, regional, and national levels. This is necessary to coordinate a unified response. Once tasks are organized into phases, the operation then proceeds in a logical organized manner, and is easier to conceptualize as it progresses from phase to phase.

Using the tasks-by-phase approach helps to synchronize the response and recovery efforts. Organizing tasks into phases also helps the planner create the synchronization matrix, which is developed later in the planning process. Figure 15 below shows the FEMA standard operational phases which are described in detail in the following sections.

Primarily pre-incident	1	Begins when incident occurs	2	Sustained operations	3
Normal operations	1a	Activation, situational assessment, and movement	2a	n/a	n/a
Increased likelihood	1b	Employment of resources and stabilization	2b	n/a	n/a
Near certainty	1c	Intermediate Operations	2c	n/a	n/a

Figure 15: FEMA Common Operational Phases.⁵

Below is a description of each operational phase, with notional tasks by phase:

Phase 1

Phase 1 normally encompasses pre-incident actions that shape operations. In notice incidents, early phases are associated with actions prior to the actual occurrence of the incident. These actions may include gaining situational awareness, activating coordination centers, and alerting or deploying resources including commodities and teams. The intent of this phase is to lessen the requirements for, and/or promote the success of, follow-on phases, through preparatory actions that specifically influence behaviors and foster planning synergy among partners and stakeholders.

- **Phase 1a** is associated with normal operations.
- **Phase 1b** is associated with *increased likelihood* (for natural hazards) or *elevated threat* and the development of situational awareness; selected teams are alerted and may be activated and deployed.

⁵ Phase descriptions for plans currently in use may not match the mission-area-neutral descriptions in this manual. From the publication date of this manual onward, the phases in this manual should be used.

- **Phase 1c** is associated with a *near certainty* (for natural hazards) or *credible threat* (for manmade threats); resources are pre-positioned in anticipation of support needed by the SLTT.

Phase 2

Phase 2 begins when the incident develops (for notice events) or occurs (for no-notice events). This phase is characterized by seizing the initiative in response to a developing or potential incident, through the mobilization, deployment, and/or employment of appropriate capabilities required to counter or lessen the impacts of an incident and/or hazard. Initial efforts are normally focused on life-saving and life-sustaining actions, and systems recovery. Phase 2 is usually, but not always, post-incident (for example, an exception would be sandbagging before an imminent flood, which may be considered Phase 2 but precedes the flood).

- **Phase 2a** is associated with activation, gaining situational awareness, movement of resources, deployment of response and recovery teams, and life-saving and rescue operations.
- **Phase 2b** is associated with employment of teams at the incident site; providing for health and safety needs; sheltering; restoring critical systems such as electrical power, water, and communications; and establishing organizational and coordinating structures for long-term recovery.
- **Phase 2c** is associated with sustained Response operations and intermediate Recovery and Mitigation operations. This includes delivery of Stafford Act programs, the completion of a Recovery Support Strategy by the Federal Disaster Recovery Coordinator (FDRC), the provision of accessible interim housing solutions, planning of immediate infrastructure repair and restoration, and supporting reestablishment of businesses.

Phase 3

Phase 3 is associated with long-term, sustained operations. Phase 3 is not subdivided; however, it is depicted and referred to as “Phase 3a” for consistency with the other phases. Phase 3a encompasses recovery tasks such as:

- Develop permanent housing solutions.
- Rebuild infrastructure to meet future community needs.
- Implement economic revitalization strategies.
- Facilitate funding for businesses to rebuild.
- Follow up on ongoing counseling, behavioral health, and case management services.
- Reestablish disrupted health care facilities.
- Implement mitigation strategies.

Developing Criteria by Phase

The collaborative planning team develops criteria to define when each phase begins and ends. Phase transitions are linked to criteria, such as thresholds or trigger points, which facilitate rapid decision making by senior leaders during incident response. As threats or hazards increase for notice

incidents, and succeeding phase criteria are met, senior leaders make decisions to elevate response levels and increase commitment of resources. Figure 16 illustrates the need to define start conditions and end states for phases.

2a		2b	
<i>(define start conditions)</i>	<i>(define end state)</i>	<i>(define start conditions)</i>	<i>(define end state)</i>

Figure 16: Each Phase Requires Defined Start Conditions and End State.

Defined start conditions and end states for all operational phases and sub phases serve as the basis for a synchronization matrix (see Appendix C for an example). Figure 17 below illustrates how start conditions and end states may be aligned during the planning process.

Phase	Sub-Phase	<i>EXAMPLE</i> Start Conditions	<i>EXAMPLE</i> End State
1	1a	<ul style="list-style-type: none"> Anticipated flood fighting response within State/local capabilities 	<ul style="list-style-type: none"> Anticipated flood response has the potential to exceed State/local capabilities and resources
	1b	<ul style="list-style-type: none"> Anticipated flood response has the potential to exceed State / local capabilities and resources 	<ul style="list-style-type: none"> NOAA Flood Watch
	1c	<ul style="list-style-type: none"> National Oceanic and Atmospheric Administration (NOAA) Flood Warning 	<ul style="list-style-type: none"> Active flood fight in progress Flood response will likely exceed State/local capabilities and resources
2	2a	<ul style="list-style-type: none"> Flood response requires Federal assistance 	<ul style="list-style-type: none"> All required Federal assets are activated and mobilized
	2b	<ul style="list-style-type: none"> All required Federal assets are mobilized and conducting incident operations 	<ul style="list-style-type: none"> Incident is stabilized

Figure 17: EXAMPLE - Phase Start Conditions and End States.

Types of Incidents and Phases

There are two main types of incidents: notice and no-notice. The phases of a notice incident include actions prior to the incident that increase readiness and available resources in preparation for the incident. No-notice incidents will not include the notice phases.

Response, Recovery and Mitigation Relationships

Aspects of Response and Recovery happen concurrently during response operations. Planners for both mission areas need to be aware of the activities in other mission areas, and coordinate how tasks in one area affect those in the others. Recovery and response planners should always be part of each other’s collaborative planning team.

Response, Recovery, and Mitigation operational planning should be conducted concurrently, and coordinated through coordination meetings. Plans previously developed by one mission area are reviewed as part of the research and analysis step, in order to pursue a common understanding of priorities and synchronicity of operations. This review will include a comparison of core capabilities for response and recovery, and identification of where points of transition may occur. In some

instances there will be obvious correlations. For example, response and recovery share four core capabilities – Planning, Public Information and Warning, Operational Coordination, and Infrastructure Systems.

There are also natural transitions between (1) Response’s Public Health and Medical Services core capability and Public and Private Services and Resources core capability, and (2) Recovery’s Health and Social Services core capability. There are also information requirements that are shared by both the Response Mass Care Services core capability and the Recovery Housing core capability. Once correlations between core capabilities are identified, tasks need to be created to ensure seamless transitions between response and recovery operations.

Planners need to work out in advance of a disaster how those transitions occur, by working together and analyzing how they will coordinate tasks between response and recovery operations. Deliberate plans need to incorporate tasks that address and achieve this transition. Tasks should not simply state “transition to recovery.” Planners should present these transitional tasks in the COA decision brief.

DEVELOP OBJECTIVES

Incident objectives ultimately establish what the execution of the plan needs to achieve. Understanding the situation, developing its requirements, and determining the priorities are vital in this process. Planners, senior leadership, and partners should approve the objectives. Senior leadership approval is required as part of the IAB, and should provide guidance on how to proceed.

Objectives should be clearly stated, and include attainable outcomes toward which every task is directed. Objectives define operational requirements that the organization must meet to achieve success. Sometimes objectives identify who is responsible, timelines, and a general geographic location or area. Planners should endeavor to make each objective measurable, because approved objectives will drive the type or amount of capability that will need to be provided.

The core planning team must carefully develop objectives to ensure that objectives support accomplishing the plan’s mission. Objectives should reflect an understanding of the operational environment and the problem, while describing an approach for achieving the desired end state. As the planning process continues, planners translate the objectives into tasks that directly support the overall mission. Figure 18 below illustrates the relationship between common terminologies from higher-level strategic concepts down to the level of assigned tasks.

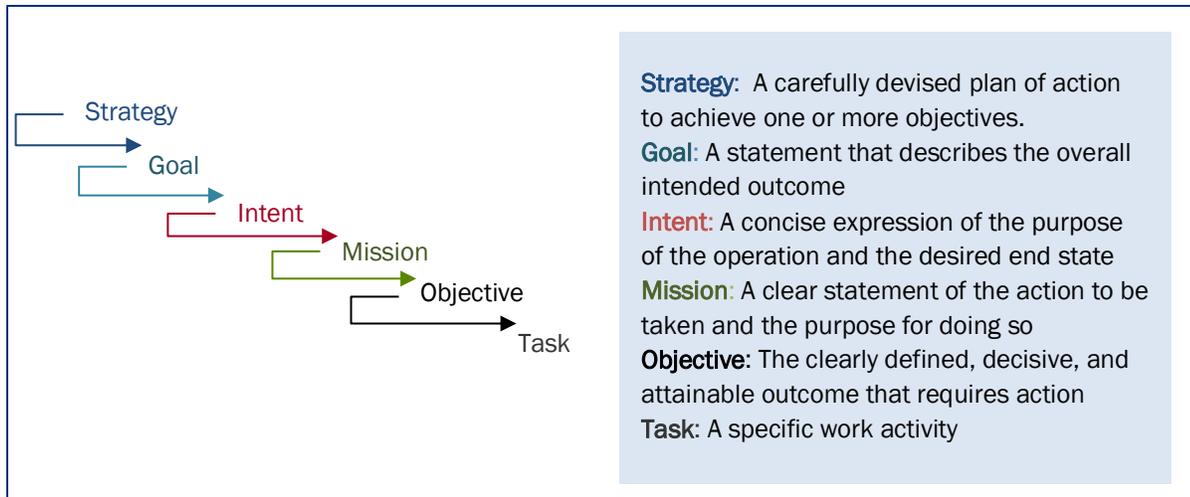


Figure 18: Key Terms in Operational Plans.

Objectives by Core Capability

As described above, FEMA has the primary responsibility for coordination in the mission areas of Mitigation, Response and Recovery, and executes these missions in concert at the incident level. For this reason, operational plans must identify objectives for appropriate core capabilities, and structure plans around these objectives.

Clearly defined objectives are specific and quantifiable:

- Referencing the amount of a capability to be delivered during the operational phase (e.g., number of typed teams)
- Referencing the trigger or time-based target for an action (e.g., time following an impact or specific event)
- Referencing the planning factors which the action addresses (e.g., number of impacted survivors)

Figure 19 on the next page depicts how operational objectives are assigned to each phase by core capabilities in all applicable mission areas.

		Operational Phases						3
		1			2			
		1 a	1 b	1 c	2 a	2 b	2 c	
Mission Areas	Core Capabilities							
	Planning							
Common	Public Information and Warning							
	Operational Coordination							
	Community Resilience							
Mitigation	Long-term Vulnerability Reduction							
	Risk and Disaster Resilience Assessment							
	Threat and Hazard Identification							
	Critical Transportation							
	Environmental Response/Health and Safety							
	Fatality Management Services							
	Infrastructure Systems							
	Mass Care Services							
Response	Mass Search and Rescue Operations							
	On-scene Security and Protection							
	Operational Communications							
	Public and Private Services and Resources							
	Public Health and Medical Services							
	Situational Assessment							
	Economic Recovery							
	Health and Social Services							
Recovery	Housing							
	Infrastructure Systems							
	Natural and Cultural Resources							



Objectives

Figure 19: Core Capability Objectives by Operational Phase.

BRIEF SENIOR LEADERS

The core planning team briefs the SLSC at the IAB. During the IAB, the planning team leader and other members of the team present the results of research and analysis in an organized manner, and review the threat or hazard in terms of operational impact. This briefing is a decision point for leadership to approve, modify, or redirect the intent of the project.

The IAB is intended to ensure that the SLSC (1) concurs that the core planning team has conducted the appropriate research and analysis to understand the situation, (2) approves the analysis conducted, and (3) directs planners to proceed with the planning process.

Components of an Information Analysis Brief

The components to be included during the IAB are variable, and depend on the direction received from the SLSC and the type of plan. The components are the results of the application of the information analysis process. Below are examples of data that may be included in an IAB:

- List of SLSC members
- Whole community partners and stakeholders
- Core planning team members
- Detailed information reflecting the research/analysis, including situation, geography, capabilities, risks, resources, modeling, and simulations
- Detailed information on applicable jurisdictions, including Tribes and territories, their demographic and socioeconomic factors, risks, and capabilities
- Facts and assumptions
- Mission statement
- Senior leader's intent
- Desired end state
- Graphic of phases of operation
- Quantifiable draft incident objectives and mission-essential tasks
- Planning factors (include data such as population demographics [e.g., affected population, number of casualties and fatalities] and structural impact to the affected area)
- The way forward (approach for COA development)
- Known critical information requirements (CIRs) (CIRs require immediate leadership notification and involvement)
- Potential assets and capabilities by core capability (where applicable)

IAB Pitfalls

Planners should **avoid** the following pitfalls:

- Developing an IAB that is too generic and high-level
- Presenting information in a disjointed or seemingly irrelevant manner (planners must ensure that senior leaders and partners understand why planners are presenting information, and the importance of that information to the development of the plan)
- Developing the IAB through a non-comprehensive process. The briefing will only be as good as the research and analysis that the planning team conducted in the previous step.
- Presenting information that is not quantifiable and actionable
- Presenting information that is too detailed or tactical
- Not representing the full range of risks and capabilities from the perspective of the whole community, including the private sector and nongovernmental partners

Gain SLSC Approval of the Analysis

For operational planning projects at FEMA, the SLSC must review and approve the IAB. Approval of the IAB allows the planning team to move forward to the next step—COA development. The core planning team must clearly articulate key decisions in the IAB to ensure that consent and approval is given and not assumed. Key decision points in the IAB are:

- Facts and assumptions
- Mission statement
- Senior leader’s intent
- Phases of the operation
- All objectives
- Planning factors (physical effects and operational impacts)

The SLSC can direct modifications of the project. If modifications are required, the planning team makes the required changes and returns the document to the SLSC for approval. Once approval is received, the information in the IAB will be the foundation from which COA development begins.

CHAPTER SUMMARY

While the items described in this chapter may vary slightly in content from one plan to another, based on the mission area being supported, the essential goal and content of each item in the planning process will remain fairly constant. The information developed as described in this chapter, and the senior leader approval of the IAB, will ensure that planners are working from an understood and approved foundation when COA development begins in Step 4.

CHAPTER 6: STEP 4 - PLAN DEVELOPMENT

Once the SLSC approves the mission statement and objectives at the IAB, the planning team works with partners and stakeholders to develop ways to accomplish those objectives. To do this, the planning team develops options that are subsequently presented to, and approved by, the SLSC. These options are known as COAs, and a selected COA will form the plan's Concept of Operations (CONOPS), with additional COAs for meeting core capability objectives. An objective, comprehensive analysis of tentative COAs is difficult even without time constraints. Based upon time available, the planning team leader will select an appropriate method for evaluating and recommending COAs, including time to conduct table top exercises or other methods of envisioning operations.

COURSES OF ACTION

A COA is a scheme that explains how an operation can be accomplished, and what resources may be required. The purpose of COAs is to provide the SLSC with options, and it is the responsibility of the planning team to develop, evaluate, and recommend viable options. A fully developed COA explains who does what, and when, to achieve the desired outcome. It identifies the resources, capabilities, and information requirements to carry out the strategy.

This chapter describes how a COA is developed, refined, analyzed, compared against criteria, and recommended. It details methods for forming COA development workgroups and collaborating with partners. This chapter includes methods and project management techniques that have been used to successfully develop plans. It describes techniques for the COA decision brief to the SLSC that result in the approval or modification of COAs. While a COA may be developed through the process described in this chapter, the SLSC may also direct the planning team to adopt a preselected COA as the CONOPS for the plan.

Flexibility on COA writing is expected and encouraged. For example, a COA at the national or regional level for all-hazard plans will naturally be general, compared to options for incident-specific annexes or joint plans. Nevertheless, all planning initiatives present an opportunity to devise options and atypical solutions for delivering capabilities. The consideration of different options is designed to ensure that the concept of operations for the plan is optimal.

COA development is performed for an overall concept of operations, as well as for supporting decisions by core capability.

Concept of Operations

The CONOPS is a statement that expresses how a plan will be accomplished using available resources. For FEMA operational plans, this is more than simply a compendium of selected COAs, but requires the planner to organize selected COAs by core capability, and develop assigned tasks by phase.

Concept of Support

COA analysis is conducted for core capability objectives. These COAs form the concept of support. Developing and evaluating COAs drives informed decision making. As part of the planning process, COAs are informed by and respond to the plan objectives, which are in turn informed by the information analysis which resulted from the senior leader's intent. The concept of support describes how the CONOPs will be achieved through COAs for each applicable core capability.

Figure 20 below depicts the key inputs and outputs that are managed by the COA workgroup.

COURSE OF ACTION DEVELOPMENT

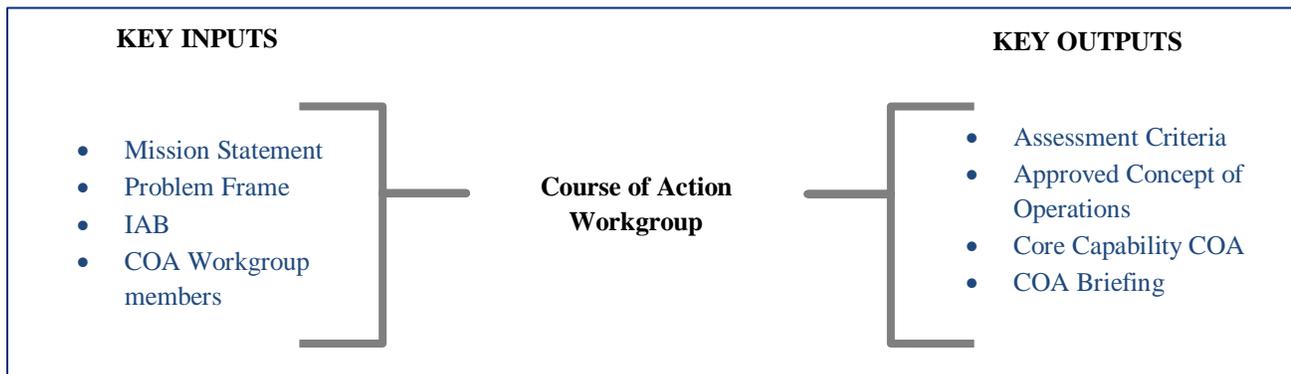


Figure 20: Course of Action Work Group.

Forming a COA Workgroup

The COA workgroup will be tasked with developing, evaluating, and ultimately recommending COAs. This means that the recommended COA must represent the best way of achieving the purpose of the plan. The planning team leader or designee guides the COA development process, and begins by determining the list of participants and the method that will be followed for COA development meetings. The planning team leader identifies team members who have the expertise, authority, jurisdiction, or capability to carry out tasks to accomplish the objectives.

Because members of a COA workgroup may not have been participants in the information analysis steps, the workgroup should review the IAB. After reviewing the IAB, the planning team leader or designee outlines the COA development process, and describes the ground rules for the meetings. In addition to reviewing the IAB, the planning team leader should familiarize the COA workgroup with the minimum characteristics of viable COAs. These minimum characteristics do not constitute a formal assessment of each COA, but will facilitate the identification and development of potential COAs. All COAs must meet the following characteristics:

1. *Suitability*: Does it accomplish the objective or mission, and comply with the senior leader's intent?
2. *Feasibility*: Will it work within the established limitations?
3. *Acceptability*: Does the solution justify the cost?

4. *Distinguishability*: Is it distinct from the other options?
5. *Completeness*: Does it incorporate objectives and tasks, along with major resource requirements?

Brainstorming

Brainstorming is the preferred technique for generating COAs, because it typically produces a wide range of options. Ideas can be eliminated that are not consistent with the approved analysis. Similar ideas should be combined. Brainstorming usually does not produce complete COAs. The best and most viable ideas are then analyzed, to determine if they can be turned into draft COAs.

In addition, exercise after-action reports, standard procedures, and established plans are all sources for COAs. In each case, the development of COAs in a collaborative environment has proven to be a successful technique.

Envisioning Operations

As courses of action begin to take shape workgroup, the collaborative planning team should assess the likely operational realities which would confront different courses of action. In many cases, the workgroup will conduct small-scale tabletop exercises, evaluating COA options in a simulated operation to assist the group in understanding the likely parameters and associated tasks and complexities for given options. Often referred to as “war gaming”, this activity is a conscious attempt to visualize the flow of the operation, given core capability objectives and possible COAs within the operational environment. This stimulates thought about the operation so the planners can obtain ideas and insights that otherwise might not have occurred. This process highlights tasks that appear to be particularly important to the operation and provides a degree of familiarity with operational-level possibilities that might otherwise be difficult to achieve.

Developing Resource Needs

The COA workgroup identifies the resources needed to accomplish all significant tasks in each potential COA. Resources identified should include staff, teams, facilities, supplies, equipment, and means of transportation. The COA workgroup also determines the specific numbers, types, and kinds of resources required to make the COA work.

Atypical Solutions

Planners rely on the experience and capabilities of the planning team to identify available methods and means that can fulfill the objectives of the plan. The best planning efforts will recognize the complexities and variability of operational environments, and explore multiple options from the wide range of resources, teams, and personnel available to support disaster operations. A planning team that includes representation from Federal, SLTT, and private sector organizations will be able to explore a broad range of options for meeting the objectives of the plan across the whole community of emergency management. Table 2 provides an example of how objectives can be fulfilled through multiple available options.

Table 2: EXAMPLE - Planners Identify Available Options for Mission Objectives

Objective	Federal Resource	Federal Resource	SLTT Resource	Nongovernmental resource
Post-event aerial imagery collection	Customs and Border Patrol air assets	Civil Air Patrol air assets	State or local aviation assets	Private sector air assets/nongovernmental associations

By exploring and identifying all available options, the planning team achieves two planning priorities. This exercise promotes the identification of the best method for fulfilling the mission. It also provides a clear, coordinated picture of available resources, which will require organization to avoid conflicting assignments as the plan is developed further.

Writing a COA Description

After the COA development meeting, the planning team leader, with the assistance of the COA workgroup, writes a description of each COA. The description must be vetted with lead and supporting Federal agencies before being included in the COA decision brief.

Each COA is developed into a series of steps (i.e., who does what to achieve the desired outcome). Development of the COA creates common understanding, and includes such critical detail as who leads the activity, and what resources will be used. The COA workgroup should strive to identify:

- What is the strategy to achieve the objective?
- Does the strategy address significant aspects of the mission statement?
- What capabilities and resources are required to achieve the objective?
- When, where, and how are capabilities applied?
- What are the logistics/support requirements?
- What has been requested?
- How does this help the SLTT, and survivors of the incident?

Answering these types of questions develops the idea into a complete COA that planners can analyze and further evaluate.

EXAMPLE: Draft Response COA for Fatality Management Services

COA: Identify credentialed assets/organizations (i.e., build a resource list), including those from the private sector, which can be used to augment existing local fatality management efforts. Ensure that local jurisdictions understand that these credentialed assets/organizations are available to augment staffing at facilities involved in fatality management, such as locally controlled family assistance center(s), while continuing to assure cultural sensitivities. Promote development of coroner mutual aid agreements across multi-jurisdictional boundaries, to include state owned assets (e.g. Disaster Portable Morgue Units (DPMUs)).

EXAMPLE: Draft Mitigation/Recovery COA

COA Title: Contract Support for National Flood Insurance Program Substantial Damage Data Collection

Strategy: Augment FEMA Mitigation personnel in the Joint Field Office (JFO) with contract staff provided from U.S. General Services Administration (GSA) schedule contract to assist in Substantial Damage Data collection.

Mission statement connection: Supports mission statement priority to transition to ensure resilient recovery. Supports mitigation, housing and economic recovery core capabilities.

Capabilities and resources required to support: Based on operational impact of 20,000 structures, using contract staff will require deployment of contract officer's representative (COR)-certified FEMA floodplain management personnel to manage contract personnel from initiation to completion.

When/Where/How: Suspense from contract initiation to data collection is 30 days. Data collection will conclude within 60 days of initiation.

Logistics Requirements: Training space sufficient to house 50-100 contract personnel for 5 days.

Survivor Assistance Provided: Facilitates a rapid transition to recovery, ensuring that structures are not rebuilt in violation of local ordinance.

COURSE OF ACTION ANALYSIS

The COA workgroup evaluates the strengths and weaknesses of individual options, and evaluates COAs against criteria. The purpose of this activity is to provide leadership with an informed and defensible recommendation.

Develop Assessment Criteria

Assessment criteria provide planners with benchmarks for estimating each COA's potential for success, and for weighing the risks and benefits associated with each option.

Using the senior leader's intent, scope, IAB, and additional planning products provided by the planning team leader, the COA workgroup develops assessment criteria. Assessment criteria are characteristics against which the team will analyze and score each option. The result will be a profile of each COA that provides relative strengths, weaknesses, risk, and values in different categories.

Due to the uncertainties of operational environments, FEMA typically uses a qualitative rather than quantitative approach in analyzing options and developing criteria. This approach still requires a

high degree of rigor, and the COA workgroup conducts a thorough assessment of each COA. Table 3 below provides a comparison of qualitative and quantitative approaches.

Table 3: Comparison of Qualitative and Quantitative Approaches

Technique	Advantages	Disadvantages
Qualitative	<ul style="list-style-type: none"> • Relatively quick and easy • Includes rich information which cannot typically be measured e.g. vulnerability, reputation, etc. 	<ul style="list-style-type: none"> • Limits the differentiation between risks and benefits • Provides limited ability for formal cost/benefit analysis
Quantitative	<ul style="list-style-type: none"> • Provides distinct measurements of risks and benefits • Allows for formal cost/benefit analysis 	<ul style="list-style-type: none"> • Time consuming and costly • Must use defined units of measurement, which often results in overlooking qualitative factors

Based on the priorities and objectives of the plan, as well as the supporting information contained in the IAB, the workgroup selects the characteristics that are most important to consider in each option. These characteristics may include timeliness, simplicity, political acceptability, social responsibility, environmental soundness, flexibility, efficiency, equitability, and administrative soundness.

Define Criteria Ratings

Each criterion selected by the workgroup will need to be further broken out into measurable ratings. Typically a rating system from one to five provides a sufficient level of detail to distinguish between COA scores, but does not represent a greater degree of specificity than the workgroup is capable of determining. Table 4 on the next page provides a template for creating a rating system. The workgroup must jointly establish, define, and explain a rating system for every characteristic it will evaluate.

Table 4: Criteria Definitions Template

Rating	Description	[Criteria]
5	Highest	[Describe the best score a COA could receive for this criteria]
4	High	[Describe a highly effective rating under this criteria]
3	Medium	[Describe the conditions of an acceptable rating under this criteria]
2	Low	[Description of unacceptable rating]
1	Lowest	[Description of the lowest, or worst rating a COA can receive for this criteria]

It is important to note that COAs will be compared against the evaluation criteria throughout the COA process, so planners should choose criteria that are suitable for assessing the absolute strengths, weaknesses, risk, and values of each COA. Once criteria have been selected, planners define exactly what each criterion entails, to ensure that all members of the team apply the criteria consistently.

Before finalizing these criteria, the workgroup, through the planning team leader, submits the criteria for SLSC approval.

COURSE OF ACTION COMPARISON

Following COA analysis, COAs are evaluated to see which would be the most effective. Having scored each option against multiple criteria, there are many different ways to visualize and compare the overall strengths and weaknesses of COAs, to select and recommend the best. Depending on the composition of the planning team and the intent of the plan, these methods may be more or less sophisticated, but they all retain the same essential purpose. Options are assessed to evaluate their strengths and weaknesses, and to identify the COA that is best suited to the plan.

All options are considered using the same criteria. This is essential to give leadership an accurate profile of the value of each option. Using the criteria set by the COA workgroup, each possible COA is evaluated in depth. During this process, the workgroup will present, discuss, and evaluate the merits of each COA against each criterion. Each COA is then evaluated.

The most common technique for COA comparison is the decision matrix, which uses the evaluation criteria and assigned scores to determine the COA that has the highest probability of success based upon the evaluation criteria.

COAs are not compared to each other directly. Each COA is considered independently and is compared with evaluation criteria. The SLSC may direct some of these criteria, but most criteria are developed by the Core Planning Team during the COA workgroup. These evaluation criteria will vary based on a number of factors, including the nature and scope of the plan, being derived from elements of the SLSC intent, or more particularly from the established objectives for each core capability addressed in the plan.

The planning team leader will define the method by which COA comparison occurs. Whatever method is selected, the purpose of COA comparison is to evaluate and assess the value and likelihood of success associated with each option.

Below are examples of common methods.

Weighted Numerical Comparison Technique

The example below provides a numerical aid for differentiating COAs. Values reflect the relative advantages or disadvantages of each COA for each criterion selected. Certain criteria have been weighted to reflect greater value (see Figure 21 on the next page).

Figure 21 Determine the weight of each criterion based on its relative importance and the SLSC guidance. The SLSC may give guidance that results in weighting certain criteria. The collaborative planning team scores each COA as described above. Multiplying the score by the weight yields the criterion's value. The planning team then totals all values. However, the staff member must be careful not to portray subjective conclusions as the results of quantifiable analysis. Comparing COAs by category is more accurate than comparing total scores.

- Criteria are selected through the process described earlier.
- The criteria can be weighted to reflect relative importance. The most important criteria are weighted with the highest numbers. Lesser criteria are weighted with progressively lower numbers.
- The highest number is best. The best criterion rating and the most advantageous COA rating are those with the highest number. Values reflect the relative strengths and weaknesses of each COA.
- The SLSC should approve the planning team's recommendations concerning the criteria and weights to ensure completeness and consistency throughout the plan.
- The COA workgroup then assembles and arrives at a consensus for scoring each COA for each criterion and respective weights.

		Courses of Action					
		COA 1		COA 2		COA 3	
Criteria	Weight	Rating	Product	Rating	Product	Rating	Product
Public perception	2	2	4	3	6	1	2
Readiness	3	1	3	2	6	3	9
DHS ranking	1	2	2	1	1	3	3
Cost	1	3	3	2	2	1	1
Oversight/ coordination	2	1	2	3	6	3	6
Intergovernmental communications	2	1	2	2	4	3	6
Total		10		13		14	
Weighted Total			16		25		27

- The SLSC intent explained that the most important criterion was “Readiness.” Therefore, assign a weight value of 3 for that criterion and lower numbers for other criteria that the Planning Team devises (this results in the weighting values).
- For Readiness, COA 3 was rated the best (with a number of 3).
- After the relative COA **rating** is multiplied by the **weight** given each criterion, and the values in the product columns are summed, COA 3 (with a score of 27) is rated the most appropriate according to the criteria used, and compared with the intent of the SLSC.
- Planners will need to consider how COAs compare to objectives developed in support of the SLSC intent, and communicate the value of recommended COAs when they present them to leadership.

Figure 21: EXAMPLE - Weighted Numerical COA Comparison Technique.

Non-Weighted Numerical Comparison Technique

This technique is the same as the previous method except that the criteria are not weighted. Again, the highest number is best for each of the criteria.

Qualitative Narrative Technique

Creating narrative or bulleted descriptive comparisons, the planning team will summarize comparison of all COAs by analyzing strengths and weaknesses, or advantages and disadvantages, for each criterion. See Figure 22 for an example.

	Criterion 1		Criterion 2		Criterion 3	
COA 1	Strengths	Weaknesses	Strengths	Weaknesses	Strengths	Weaknesses
COA 2	Strengths	Weaknesses	Strengths	Weaknesses	Strengths	Weaknesses
COA 3	Strengths	Weaknesses	Strengths	Weaknesses	Strengths	Weaknesses

Figure 22: Narrative/Bulleted Descriptive Comparison.

Plus/Minus/Neutral Comparison

Base this comparison on the broad degree to which the COA supports or reflects selected criteria. This is typically organized as a table showing (+) for a positive influence, (0) for a neutral influence, and (-) for a negative influence. Figure 23 is an example.

Criteria	COA 1	COA 2
Public perception	+	-
Readiness	-	+
DHS ranking	0	0
Cost	+	+
Oversight/ coordination	-	-
Intergovernmental communications	-	+

Figure 23: EXAMPLE - Plus/Minus/Neutral Comparison.

Selecting a COA Comparison Technique

The planning team leader will select the COA comparison technique for the plan, based on multiple factors. Depending on the time constraints of the planning activity, the composition of the planning team, and the availability of information and data regarding different options, the planning team leader will select the comparison technique which best supports the desired outcomes for the plan. In general, the following is a helpful guide for selecting a COA comparison method.

Numeric Comparison

- Planning efforts have enough time to generate detailed information that will allow the team to thoughtfully and accurately assign numerical values for each COA by defined criteria.
- SLSC has defined high-priority guidance regarding objectives and criteria, which make weighting of COAs an important consideration.

Narrative Comparisons

- Planning efforts have enough time to generate detailed narrative information regarding COAs.
- COAs are multi-faceted and require detailed descriptions to show how they are distinct from one another.

Plus/Minus/Neutral Comparisons

- Planning efforts have less time, and need to rapidly assign values to COAs.
- Information about COAs is less detailed.

COURSE OF ACTION RECOMMENDATION

Planners are responsible for recommending COAs based on the evaluation criteria. It is vital that the SLSC understand the benefits and risks of recommended COAs, because these characteristics will

define the operation. The COA recommendation is a deliberate decision, not a simple score, and therefore, it takes into account the risks and benefits of each COA. The planning team leader and the workgroup may recommend a COA to senior leaders even if factors such as cost are high. Advantages and disadvantages can also form the basis for a recommendation and decision. There may be criteria that the SLSC considers that are beyond the evaluation criteria. The planner's job is to provide reason and logic based on known information.

COAs may be ranked very closely, as in the matrix above, and may have a variety of strengths and weakness that the COA workgroup needs to consider. The workgroup examines the risks and benefits of each COA individually, and relative to the others, to determine the best alternative. Depending on the priorities of the plan, the COA with the highest overall score may not be the best option for recommendation. But providing a means of comparing COAs allows the workgroup to consider each criterion, as well as the overall score of COAs, and identify the best option for recommendation.

In recommending a COA, planners also inform leadership, of the operational impact of selecting one COA or the other. For instance, if a planning team recommends a more costly option because it is also more rapid, the team will need to identify operational impacts that the plan must then address, such as options for controlling cost.

Course of Action Decision Brief

The COA decision brief is a significant milestone in the planning process. It is the culmination of a collaborative process that developed, refined, and analyzed COAs. It is a decision point for leaders with the authority and responsibility for operational outcomes to select or modify COAs that will be included in the plan.

The COA decision brief should include a review of the situation, mission statement, senior leader's intent, objectives, phasing, and the COAs. The brief should describe the risks and benefits of the presented COAs. It should be specific enough to explain the resources and actions required to achieve specific outcomes. The brief should also explain activation, deployment, staging, and the integration of resources at the incident site. The brief should explain what tasks are required by organizations in order to accomplish objectives. Only fully developed COAs should be presented to the SLSC.

The approved COA becomes the basis for the plan's concept of operations (CONOPS) and concept of support⁶. A COA that lacks specifics will result in a plan that requires more detailed planning during execution, and may involve greater risk.

The COA decision brief should include:

⁶ The concept of support is a written statement that establishes priorities and synchronizes critical logistic actions that will occur before, during, and after the incident to support the concept of operations.

- A review of the previously approved scenario
- Mission statement
- Senior leader’s intent
- Objectives
- Operational phases
- Planning factors
- List of participants in COA workgroups
- COA development and evaluation (including COAs not selected)
- Recommended COAs
 - CONOPS
 - Resources required for a COA
 - COAs by Core Capability
- Critical information requirements
- The way forward (timeline and next steps)

The COA brief is a major decision point for the SLSC. The options presented to leadership require a full understanding the objective, risk, and what is expected to be achieved.

OPERATIONAL DESIGN

Once a COA workgroup has delivered its recommendations to the SLSC, the selected COAs form the basis of the CONOPS for the plan. Because the final task of the COA process is to design an overall Concept of Operations, supported by selected options by core capability, it is imperative for planners to draft, evaluate and select COAs with an understanding that they will serve as organizational tools for operational effort. Figure 24 on the next page depicts the connection between objectives, selected COAs, and the construction of a CONOPS, and demonstrates how COAs achieve objectives for each core capability.

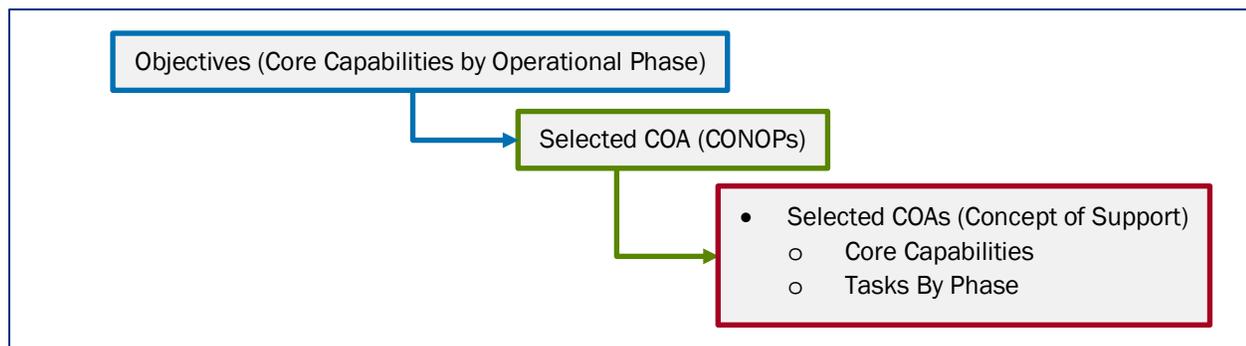


Figure 24: Course of Action Selection Serves as the Basis for Operation Design.

As described above, along with evaluating strengths and weaknesses of different courses of action, a well-developed COA description and supporting analysis will identify the operational approach, the resources required, and the core capability supported by that COA.

Core capabilities are efforts shared by multiple operational elements, and the selected COAs are the planner's primary resource in identifying how the tasks associated with implementing the plan are assigned, and will ultimately be carried out, if and when the plan is executed or validated through exercise.

Planners provide a coherent operational design that links what the plan is intended to accomplish to a structured means of how it will be accomplished. This requires planners to be familiar with the support functions associated with the most current versions of the national response, mitigation, and disaster recovery frameworks, as well as the operational responsibilities assigned to those support functions in the subsequent Federal Interagency Operational Plans (FIOPs) for Mitigation, Response, and Recovery. As outlined in Figure above, the Response and Recovery mission areas have defined support functions, while Mitigation core capabilities are integrated across multiple Emergency and Recovery Support Functions.

Written COAs should organize tasks according to the objectives assigned to each core capability over operational phases (see Figure 24 above).

Figure 25 on the next page depicts the Support Functions tasked with meeting core capability objectives in the mission areas of Mitigation, Response, and Recovery.

Applicable Interagency Plan ⁷	Support Function
Mitigation	Mitigation
<i>Federal Interagency Operational Plan for Mitigation</i>	Mitigation Objectives are integrated across ESFs and RSFs
	Emergency Support Functions (ESF)
<i>Federal Interagency Operational Plan for Response</i>	ESF #1 –Transportation ESF #2–Communications ESF #3–Public Works and Engineering ESF #4–Firefighting ESF #5–Information and Planning ESF #6–Mass Care, Emergency Assistance, Temporary Housing, and Human Services ESF #7–Logistics ESF #8–Public Health and Medical Services ESF #9–Search and Rescue ESF #10–Oil and Hazardous Materials ESF #11–Agriculture and Natural Resources ESF #12–Energy ESF #13–Public Safety and Security ESF #15–External Affairs
Recovery Support Functions (RSF)	Recovery Support Functions (RSF)
<i>Federal Interagency Operational Plan for Recovery</i>	Community Planning and Capacity Building (CPCB) Economic RSF (Econ) Health & Social Services RSF (HSS) Housing RSF (Housing) Infrastructure Systems RSF (IS) Natural and Cultural Resources RSF (NCR)

Figure 25: Federal Operational Support Architecture.⁸

Core capabilities in the FIOPs are assigned as the primary responsibility of certain ESFs/RSFs. Operational planners, however, further delineate the tasks which will meet objectives during each operational phase. Figure on the next page illustrates the organization of primary responsibilities for core capability execution in all three of the FIOPs for which FEMA has the primary responsibility.

Building from the established roles and responsibilities described in the National level FIOPs, FEMA operational plans provide detailed breakdowns of operations specific to the scope of the given plan.

⁷ Source: Federal Interagency Operational Plans for Mitigation, Response and Recovery (2013).

⁸ Note: Pursuant to the adoption of the “National Disaster Recovery Framework” (NDRF), ESF 14 is superseded by the NDRF.

Mission Areas	Core Capabilities	Primary Operational Responsibility ⁹																					
		Emergency Support Functions															Recovery Support Functions						
		1	2	3	4	5	6	7	8	9	10	11	12	13	15	CPCB	Econ	HSS	HS	IS	NCR		
All	Planning					•												•					
	Public Information and Warning					•			•		•				•			•	•	•	•	•	•
	Operational Coordination	•	•	•	•	•	•	•	•	•	•	•	•	•	•			•	•	•	•	•	•
Mitigation	Community Resilience					•												•	•	•	•	•	•
	Long-term Vulnerability Reduction					•												•	•	•	•	•	•
	Risk and Disaster Resilience Assessment					•												•	•	•	•	•	•
	Threats and Hazard Identification					•												•	•	•	•	•	•
Response	Critical Transportation	•		•	•		•	•	•		•	•											
	Environmental Response/Health and Safety			•	•						•	•											
	Fatality Management Services			•			•																
	Infrastructure Systems			•	•			•			•	•	•										
	Mass Care Services			•	•		•	•	•			•											
	Mass Search and Rescue Operations			•	•					•													
	On-scene Security and Protection				•										•								
	Operational Communications		•		•			•															
	Public and Private Services and Resources					•		•															
	Public Health and Medical Services			•	•		•	•	•			•	•										
	Situational Assessment				•		•		•			•											
	Recovery	Economic Recovery																	•	•			
Health and Social Services																			•				
Housing																					•		
Infrastructure Systems																						•	
Natural and Cultural Resources																							•

Figure 26: Core Capabilities are Delivered by Multiple ESFs and RSFs.

⁹ Source: Federal Interagency Operational Plans for Mitigation, Response and Recovery (2013).

TASKS

Following the selection of COAs, tasks are assigned by phase to ESFs, RSFs, and groups that will execute tasks to meet objectives. Tasks are specific work activities that address how to achieve objectives. For example, an objective could state the intent to locate any remaining trapped survivors in affected areas in Memphis, while the task would state California Task Force-3 will report to Memphis Fire Station 19 at the corner of Chelsea and Boxwood Street at 0600 (of the operational period) with all equipment and support personnel to deploy and operate under the direction of Memphis Fire Services until 1800. Tasks can either be specified or implied.

Specified Tasks: Tasks which are specifically assigned by leadership to be included in the plan.

Implied Tasks: Those tasks which and must be performed to accomplish a specified task, but are not explicitly stated by leadership.

The scope and level of the plan will determine the requirement for detail in this regard, but all operational plans maintain the common principle that analysis and the development of objectives are used to inform the identification of COAs, which results finally in tasks.

Coordination of Tasks

Tasks are coordinated across entities that will execute them. Figure 27 below provides an example of how ESF and RSF tasks are organized and coordinated from the planning process through to the final written plan. Chapter 7 of this manual provides guidance on the standard organization and outline of deliberate plans.

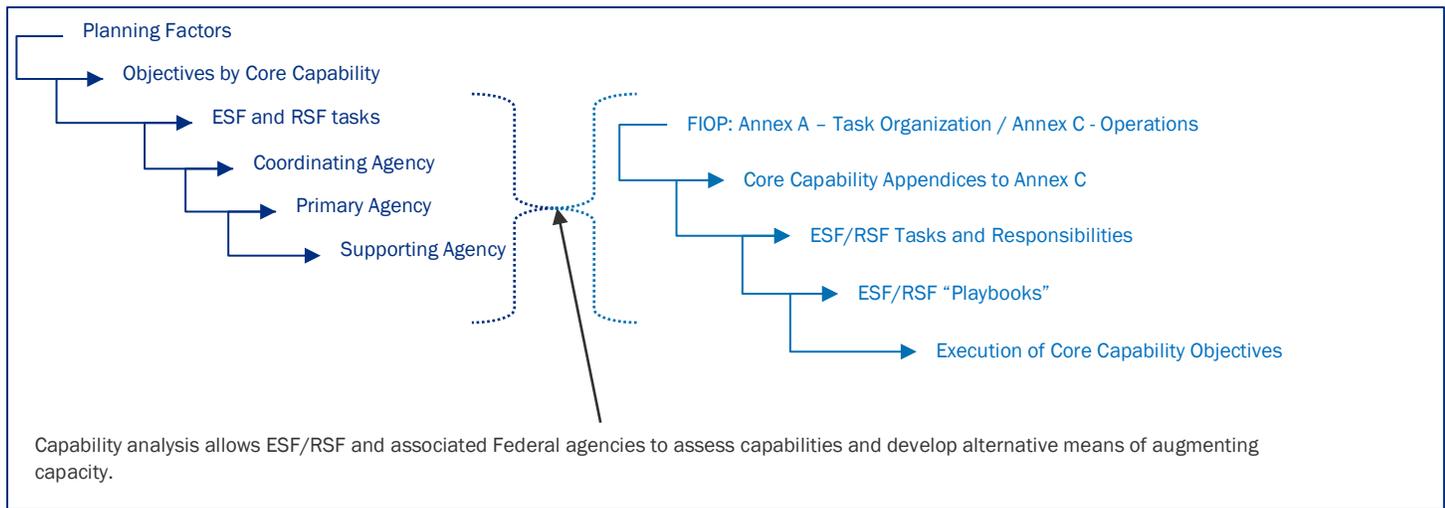


Figure 27: ESFs and RSFs Develop Subsequent Operational Guidance to Coordinate Tasks that Support Plan Objectives.

Figure 28 on the next page provides an example of how ESF and RSF tasks may be evaluated and coordinated. As the plan is developed, documentation should be maintained that shows how tasks are

assigned by support functions, to provide a streamlined means of incorporating operational responsibilities into the final plan.

Emergency / Recovery Support Function Plan

		Coordinating Agency	Primary Agency	Supporting Agency
Mission Areas	Core Capabilities	(Agency)	(Agency)	(Agency)
All	Planning	Capability Analysis	Capability Analysis	Capability Analysis
	Public Information and Warning			
	Operational Coordination			
Mitigation	Community Resilience			
	Long-term Vulnerability Reduction			
	Risk and Disaster Resilience Assessment			
Response	Threats and Hazard Identification			
	Critical Transportation			
	Environmental Response/Health and Safety			
	Fatality Management Services			
	Infrastructure Systems			
	Mass Care Services			
	Mass Search and Rescue Operations			
	On-scene Security and Protection			
	Operational Communications			
	Public and Private Services and Resources			
Recovery	Public Health and Medical Services			
	Situational Assessment			
	Economic Recovery			
	Health and Social Services			
	Housing			
	Infrastructure Systems			
	Natural and Cultural Resources			

Figure 28: ESF and RSF Execution Plans, Playbooks, and Appendices Provide a Coordinated Platform for Capability Assessment.

RESOURCE ALLOCATION AND ALIGNMENT

To ensure that the plan is executable, planners prepare a detailed analysis of resources available to be applied to deliver core capabilities and meet the plan objectives. The process of identifying, assessing and evaluating COAs against criteria includes a detailed assessment of the resources required to support each COA. Likewise, planners align available resources to selected COAs. Figure 29 on the next page illustrates the process of aligning resources.



Figure 29: Resource Allocation and Alignment.

Resource alignment is a continuous process, as the planning team identifies and evaluates courses of action, searches for atypical resources, and identifies the best options for meeting the objectives of the plan. As the plan progresses, resources are aligned and catalogued.

Resource alignment and allocation ensures that plans identify all available resources, and prevents duplication of tasks for specific resources. Planners integrate the information gained through the alignment and allocation of all available resources into relevant planning efforts.

Key elements of information required to align core capability objectives with available resources include:

- Planning factors, core capability objectives and applicable support functions
 - Required resources
 - Concept of Support
 - SLTT and whole community capabilities
 - Federal resources available
 - Unmet requirements

Resource Alignment Desired Outcomes:

- A common understanding of the concept of operations and resources required for an effective operation
- A catalogue exists of all identified resources available, that includes resources from ESFs/RSFs, States, neighboring States through Emergency Management Assistance Compact (EMAC), and relevant private sector and nongovernmental partners
- Documentation of resource limitations or shortfalls

To allocate and align resources, the planning team compiles, validates and mediates resources assigned to selected COAs. The purpose of this activity is to develop a comprehensive picture of all

resources available and associated with core capability objectives, incident phases, and executive support functions (ESFs and RSFs).

CHAPTER SUMMARY

Plan development is a process of developing solutions in the form of options, or COAs. The COA workgroup typically develops COAs at COA development meetings. Each COA evolves from an initial idea, derived from brainstorming or other sources, through analysis that includes comparison and assessment, and then recommendation. The workgroup then describes in detail the recommended overall COA for the concept of operations, as well as subsequent COAs for applicable core capabilities. This is accomplished during the COA decision briefing which is presented to leadership.

The SLSC is responsible for approving COAs based on the information presented in the COA decision briefing.

Once the SLSC has selected a COA, the planning team organizes the information developed thus far in the planning process, developing a design for the conduct of the operation based on the selected COAs and the relationships and responsibilities described in the existing frameworks for National Preparedness. Below is an example of how overarching FIOPs contain information which guides specific operational plans.

EXAMPLE: FIOP to FEMA Regional Plan

Core Capability: On-scene Security and Protection

Support Functions: ESF #5 and ESF #13. The Department of Justice is the primary agency and ESF coordinator for ESF #13; FEMA is the primary agency for ESF #5.

Operational Phase: 2a

Objective: Deliver fuel to maintain essential emergency services

Selected COA: [Defined number of] Federal Protective personnel deployed under mission assignment to provide on-site security at [defined] distribution area.

Task: Provide security at fuel distribution sites.

End State: First responders are able to conduct initial operations with established reliable fuel supply.

Defined in FIOP
for Response

Designed in FEMA
Regional Plan

CHAPTER 7: STEP 5 - PLAN PREPARATION, REVIEW, AND APPROVAL

This chapter describes techniques for organizing a plan, and outlines the process for gaining final plan approval by the SLSC. The chapter includes a description of how to write a deliberate plan using a FEMA standard format, FEMA criteria for assessing the quality of a draft plan, how to get a FEMA operational plan approved, and how to disseminate a FEMA operational plan. Figure 30 below depicts the key inputs and outputs that are part of plan preparation, review, and approval.

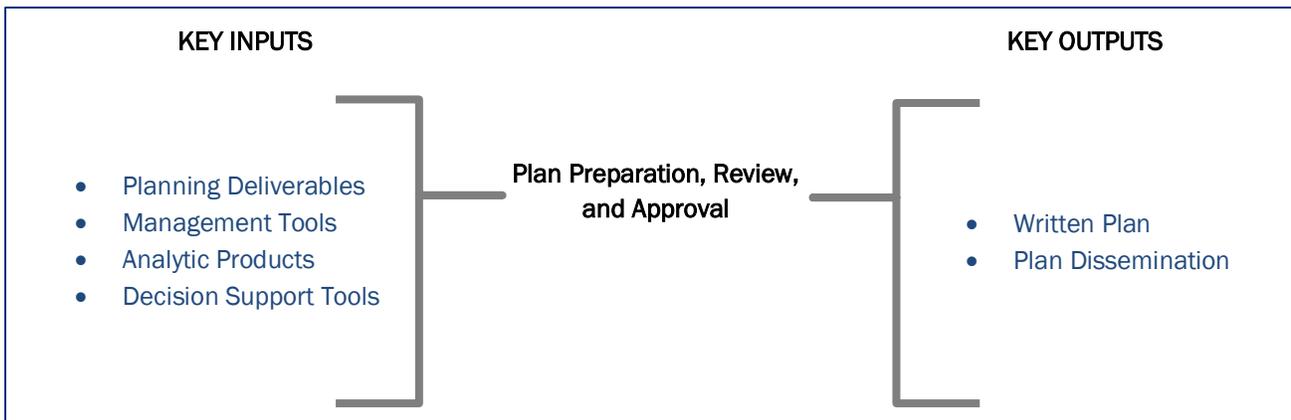


Figure 30: Plan Preparation, Review, and Approval.

WRITE THE PLAN

Writing the plan is a continuous effort that occurs throughout all activities of the planning process. Each activity produces an element of the plan. For example, planners use the information gained during research and analysis to write the situation paragraph and mission statement. During plan development, the core planning team expands the approved COA into a detailed list of tasks, and produces an executable CONOPS that clearly and concisely expresses what leadership intends and how it will be accomplished. The CONOPS describes how the actions of all supporting organizations will be integrated, synchronized, and phased to accomplish the mission.

Organizing Materials

Organize and maintain copies of all documents and other associated products developed during the planning process in a file that is easily accessible by those participating in plan development.

Planners should consider the following guidelines for organizing planning materials:

- Use a predetermined standard naming convention for electronic files
- Establish a clear process to enable all participants to locate the current version of the plan, and archive outdated versions

Using Clear and Concise Language

The use of clear and concise language is essential to the production of a good plan. Planners must write the plan in a way that unambiguously communicates the intent of the operation. Planners should consider the following guidelines when producing plans:

- Use plain language that can be understood by the intended audience
- Use active voice (e.g., "the group decided" is active, while "it was decided" is passive)
- Be direct and to the point
- Minimize the use of acronyms and abbreviations, and do not assume that they are universally understood
- Clearly distinguish the intent of terms that have multiple meanings, or avoid such terms

Using Planning Products

Throughout the planning process, the planning team develops documents and deliverables which directly transition into the content of the written plan. As planning efforts take shape, planners refine the format and consistency of their planning products, ensuring a smooth transition from deliverables (e.g. IAB), management tools (e.g. work plan), analytic products (e.g. research and analysis), and decision support tools (e.g. COA evaluation criteria and method) to the written plan. The standard format of a FEMA operational plan is designed to facilitate the transition of planning products into the appropriate location in the written plan.

Using a Standard Format

Using a standard plan format is important for ease of use and execution of the plan. All FEMA operational plans need to be immediately recognizable and accessible sources for reference, review, and use. Those using the plan may include regional and Agency leadership, individuals and teams from multiple FEMA regions, SLTT, and other partners. Using a standard format allows plan users to quickly find the information they require across multiple plans. It also facilitates interoperability with other FEMA program areas, partners, and stakeholders. For consistency, most plan annexes follow the same format as the plan. However, unnecessary or repetitive sections should be eliminated.

The deliverables associated with the planning process described in this manual are produced under a standard plan format designed to ensure the following principles:

- Interoperability of plans--end users and operations personnel need to be able to quickly access and use all deliberate plans
- Measurable success for planning efforts
- National, consensus standard for deliverables

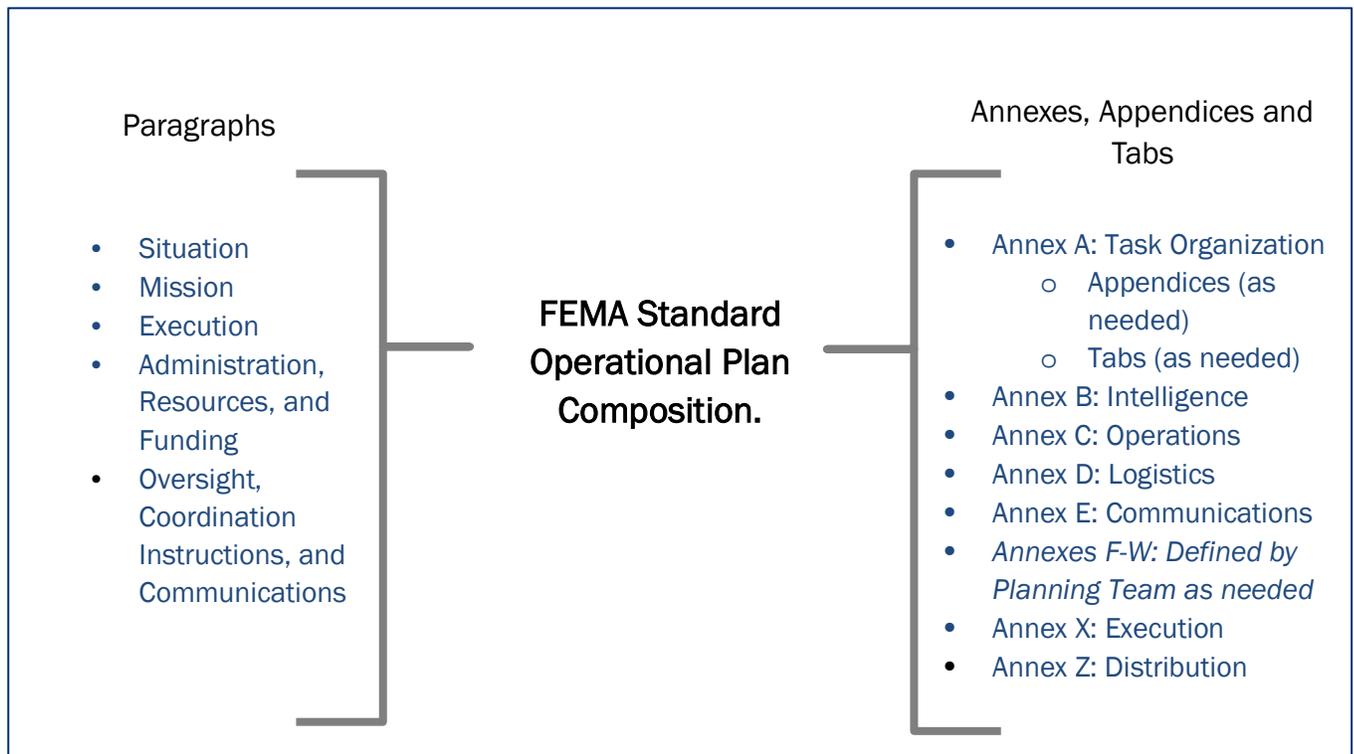
In addition, final printed plans and all associated tables, figures, supplementary information, etc. should conform to applicable DHS and Government Printing Office guidelines¹⁰ for technical writing, grammar, and usage.

FEMA Deliberate Plan Outline

The product that comes out of the planning process is organized in five “paragraphs.”¹¹ The five paragraphs constitute the base plan. Annexes are used to provide information not found in the base plan. Annexes may be supported by appendices, which in turn may contain tabs. The hierarchy is described in Figure 31 below.

FEMA operational plans follow a standard composition, including five standard paragraphs which constitute the base plan, and five standard annexes, which may be supported by additional annexes, appendices, and tabs. The standard composition is outlined below in Figure 31.

Figure 31: FEMA Standard Operational Plan Composition



¹⁰ U.S. Government Printing Office Style Manual / DHS House Style Guidelines, 2003

¹¹ Though these are described as “paragraphs” in order to distinguish them from sections, annexes and appendices, they may be several paragraphs long.

This document's Appendix C: Deliberate Plan Template provides a template which describes in detail the content of each of the five paragraphs, as well as the required annexes, and optional appendices.

REVIEW THE PLAN

Once a plan is drafted, it is sent to the collaborative planning team for review and comment. After a review period, comments are addressed and adjudicated in collaboration with partners and stakeholders. Following the comment period and adjudication, the draft plan is finalized and prepared for signature.

APPROVE AND DISSEMINATE THE PLAN

In order for the plan to be official, it must be approved by the SLSC. Approval is the official statement on the part of the SLSC which indicates that the plan or planning deliverable in question meets the intent of the SLSC and the requirements of the plan assignment. Plan approval occurs sequentially for the principal deliverables of the plan. Plan deliverables are developed with guidance from the SLSC, and are approved by the SLSC prior to the planning team progressing further in the planning process.

Once the deliverables associated with the final plan are approved, and the planning team has drafted a completed, written plan, the lead planner prepares a signature page for key members of the collaborative planning team to sign. This signature sheet is not part of the completed plan, but is included in the submittal package when the plan is submitted for approval. Once signed by the planning team, the plan is presented to the SLSC for approval, along with the signature page. At this point, the plan is approved and is ready for transition to operational elements that will execute the plan in the event of an incident, or will exercise the plan.

Appendix G of this document includes a rubric for evaluating planning efforts.

Final Plan Briefing

The Planning Team conducts a Final Plan Briefing which is a summary of the concept of operations and support that will be executed in the plan. Once approved by the SLSC at this briefing, a plan is made available to all relevant FEMA staff, partners, and stakeholders. Generally, a final plan briefing will cover the following topics to ensure a thorough summary of the plan:

- SLSC composition and approving entities
- Plan table of contents and listing of supporting products
- An overview of situation and impacts (include those that are most important)
- Description of the CONOPS, which may be divided into different elements, core capabilities, or other categories
- Description of the capabilities to be brought to bear, when, and where (as appropriate)

- Description of the scenario and a rollup of the resultant planning factors used to drive the COAs
- Descriptions of the objectives, through the delivery of each core capability
- Overview of deliverables and supporting products included in the plan (checklist, core capability prioritization and synchronization, phone book, maps/layers, multi-function force package, network diagram)
- Orientation to the Concept of Operations/Support
- Task sequencing and greatest opportunities to save and sustain life, atypical solutions (e.g. the expectation to see the use of the Department of Defense (DoD) Chemical Biological Radiological Nuclear and Explosive enterprise resources)
- Challenges with the CONOPS and support construct (challenges to execution)
- Challenges and lessons from the planning process (including what should be done differently, or what is essential for future Improvised Nuclear Device (IND) planning in FY13 and beyond)
- Lessons learned, challenges overcome or outstanding, or pending policy/programmatic questions (priority)
- Capability, policy, and doctrinal requirements or recommendations
- Purpose and goals of the plan and planning process
- Plan's relationship with the Regional All-Hazards Plan (AHP), applicable national plans, State plans, etc.
- Description of whole community engagement, including private sector entities, NGOs, SLTT governments, disability coordination, etc.
- Atypical approaches or solutions that were successful in the past
- New or strengthened partnerships
- Good news stories (e.g., list of whole community partners and private sector entities involved)
- Key successes from the planning process (public and private partnerships, robust collaborative team, complex sequencing and resource analysis, use of modeling, popularity, application to inform future IND planning efforts, etc.)
- Description of any unique attributes or successes of which you are proud and which illustrate a potential model for other plans to follow (e.g., critical infrastructure and key resources (CIKR) modeling, complex task sequencing with requirements, spin-off efforts at the SLTT level)
- Continuing and next steps, including socialization efforts
- Location and availability of plan
- Presentation materials and handouts:
 - Include map/geographic information system (GIS) layers to better illustrate points where applicable
 - Screen dedicated for displaying modeling/GIS layers as needed

- Plan copies, with execution checklist and synchronization matrixes

CHAPTER SUMMARY

Planners must understand how to organize and write the plan, how to use clear language and standardized formats, and the process for the review and approval of the plan. Having a clearly written plan with a standardized format will facilitate plan implementation and maintenance.

CHAPTER 8: STEP 6 - PLAN IMPLEMENTATION AND MAINTENANCE

This chapter describes how to ensure that the plan is understood, accepted, and kept current. During Step 6, planners transition the plan to users who will train on the plan, exercise the plan, and execute the plan. In addition, planners need to obtain feedback on the plan from various sources, and maintain awareness of changing requirements, to ensure the plan is revised, reviewed, and maintained on both a regular and an as-needed basis.

TRANSFER OF RESPONSIBILITY

From plan development through implementation and maintenance, different entities take ownership of the plan. Ownership of a plan includes the responsibility to comprehend, accept, and maintain accountability. Over the life of a plan, the ownership transfers from those who develop a plan to those who will train on, exercise, and execute it. Figure 32 depicts the transfer of responsibility for the plan from the development to the use of the plan.

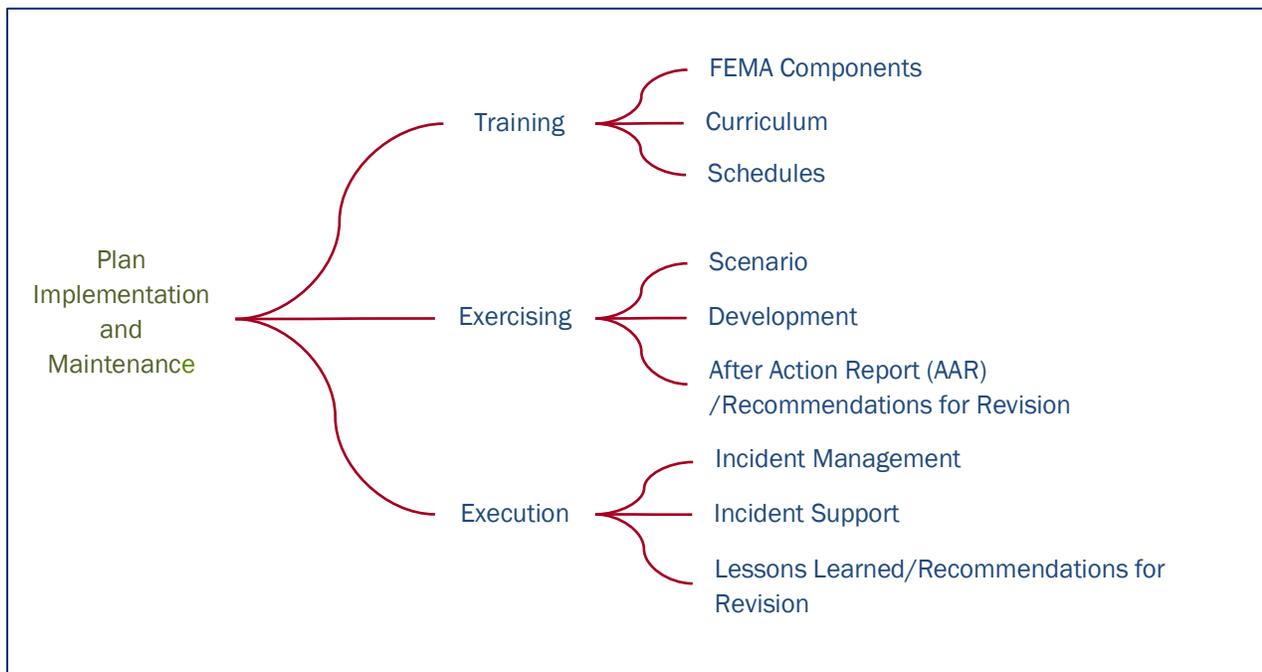


Figure 31: Transfer of Responsibility for the Plan.

TRAINING AND EXERCISING THE PLAN

Those under the authority of a plan’s signatories ensure that personnel understand the plan and are able to execute it. Typically, they do this through training and exercises. The planners who developed the plan provide subject matter expertise on the development of training and exercises for

the plan. Training and exercises are critical elements of plan refinement, and should involve members of the plan development team.

When the responsibility for the plan is officially transferred to FEMA components responsible for conducting periodic exercises or conducting operations, it is essential that FEMA components that are responsible for the execution of a plan understand the plan and be able to use it. FEMA achieves this readiness and awareness through training on and exercising the plan.

Train on the Plan

Annual Training

When a plan is signed and transferred to operational components, the plan should be incorporated into applicable annual training schedules. To help better align the whole community planning initiatives, a multi-year training schedule should be put into place, which will help support the exercise validation process.

This alignment and synchronization can be accomplished through the implementation of a Regional Training and Exercise Planning Workshop (TEPW). The TEPW should look at scheduling course training from Independent Study (IS), Incident Command System (ICS) – 100 to continuity of operations awareness training. It is recommended that training be structured around the core capabilities found within the National Preparedness Goal (NPG) for better alignment with Presidential Policy Directive (PPD) 8.

Ad Hoc Training

Specific plans may require ad hoc training, as they may not fit into the type of scheduled, cycled training referenced above.

After-Action Report, Corrective Action Plan, and Training Synchronization

Remedial actions identified through exercising the plan, or through the after-action process, may require the organization to look at providing refresher training for current and new personnel, as documented within the corrective action plan. This is a critical link between training and exercising the plan. The lead for training the plan should ensure that this link is established and maintained throughout the planning process.

Communicating the Training Aspect of the Plan

Following the development of the plan, socialization must occur among managers within the organization on how to implement training of current and new personnel for a greater understanding of the plan, and development of skills and abilities to carry out the objectives and tasks identified within the plan. This can include training in organization-specific operating procedures for actions required to meet objectives and accomplish tasks identified in the plan.

Exercise the Plan

Planning, and the design and execution of operational exercises, will involve many of the same FEMA personnel and should be coordinated activities. Well-designed exercises educate participants

on the content of plans, and test and validate whether new plans' goals, objectives, assumptions, concept of operations, actions, and roles and responsibilities support successful outcomes. Exercises also drive the maintenance of existing plans. In addition, exercises help clarify roles and responsibilities among different entities, improve interagency coordination and communication, and highlight gaps to drive improvements across the other elements of the preparedness cycle. In doing so, they provide whole community stakeholders with the opportunity to assess capabilities, identify strengths, and address gaps and shortfalls in a no-fault environment.

Individual exercises are events much like projects, while an exercise program represents an ongoing process that seeks to develop core capabilities through a progressively complex series of exercises that are anchored to a common set of objectives. Deliberate planning is conducted under non-emergency conditions, and the full range of exercise types is used for plan evaluation and improvement. Crisis action planning occurs in a time-compressed environment in response to a credible threat, incident, or event; crisis action plan exercises tend to be more ad hoc and rarely include functional or full-scale exercises.

Exercising Plans at FEMA

Exercises at FEMA are managed, planned, conducted, and evaluated pursuant to the Homeland Security Exercise and Evaluation Program (HSEEP)¹², a capabilities- and performance-based exercise program that provides standardized guidance and terminology for exercise design, development, conduct, evaluation, and improvement planning. The FEMA National Exercise Division (NED) manages HSEEP to promote consistency among exercises across the Nation as a means to enhance preparedness.

HSEEP provides a set of principles for exercise programs, and common processes for exercise planning, conduct, and evaluation. HSEEP promotes:

- A common approach to exercises across all mission areas
- The use of risk-based analyses to drive exercise program goals and objectives and inform the design, development, and conduct of exercises
- A progressive planning approach to improving core capabilities through a series of exercises anchored by a common set of exercise objectives
- Whole community engagement in exercises
- Assessment of performance against capability-based strategic and operational objectives

These principles maximize coordination between FEMA's planning and exercise programs.

The HSEEP program also offers an interactive, online toolkit to support exercise development, conduct, evaluation, and improvement planning. The HSEEP Toolkit comprises three modules: (1)

¹² "2013 Homeland Security Exercise and Evaluation Program" (HSEEP) Available at: <https://www.fema.gov/media-library/assets/documents/32326>

the National Exercise Schedule (NEXS) System, which is the nation's official calendar of exercise activities, includes events at all levels of government and across geographic locations, and supports the implementation of the National Exercise Program (NEP); (2) the Design and Development System (DDS), a project management tool and technological backbone for the planning process; and (3) the Corrective Action Program (CAP) System, which allows users to track, prioritize, and analyze corrective actions following exercises, policy discussions, and real-world incidents and events. Planners should consult HSEEP for more detailed information regarding the design and conduct of exercises. Table 5 below provides a summary of the key ways the work of planners relates to exercise design and conduct.

Table 5: Planning and Exercises

Planning and Exercises	
Exercise Design	Exercise design is the process of creating the conceptual framework for an exercise. Plan writers and exercise designers coordinate closely to ensure that exercise scope, objectives, and scenario events effectively test the plan's assumptions, roles and responsibilities, and concept of operations. Planners should participate in exercise design activities.
Exercise Conduct	Exercise conduct comprises managing exercise play and conducting immediate exercise wrap-up activities. Planners may be asked to participate in exercise conduct as subject matter experts on the plans being exercised.

EXECUTING THE PLAN

Deliberate planning informs the decisions made during actual incidents. Plans are executed during incident operations by adapting them to fit the situation. Chapter 9 of this manual provides further guidance on adapting and executing plans. The lessons learned during plan execution are used to refine and maintain the currency of existing deliberate plans.

REFINING DOCUMENTS

Planners review lessons learned, after action reports, or improvement plans that are generated following training, exercises, and real-world incidents, to systematically capture proposed changes to a plan. Once the plan has been revised, it should be reviewed against the previous screening and evaluation criteria to ensure that it is still relevant and correct. All substantive changes to a plan should be briefed to senior leaders for approval.

MAINTAINING THE PLAN

Plans must be regularly reviewed and revised by those who execute plans, to ensure that they remain relevant to the situation for which they were created. Figure 33 on the next page illustrates the planning development feedback cycle in which planners are constantly developing plans, reviewing them, exercising them, executing them, and updating them based upon submitted comments.



Figure 32: Planning Life Cycle.

CHAPTER SUMMARY

This final step of plan implementation and maintenance helps to ensure that plans are well understood, exercised, and implemented. It also helps the users become familiar enough with the plan that they are comfortable using it as the need arises. One of the most important end results of this step is the ability of plan users to effectively employ deliberate plans to develop crisis action plans when an incident occurs. More information on how to do this can be found in the next chapter.

CHAPTER 9: USING DELIBERATE PLANS IN CRISIS

ACTION PLANNING

Crisis action planning is conducted in a time constrained environment to develop plans in response to an imminent or ongoing incident. After a deliberate plan has been trained, exercised, and validated, it is ready for implementation during an incident. The “FEMA Operational Planning Keystone” includes a key tenet that states, “Effective Planning Leads to Effective Execution.” This reminds planners that while the efforts to create a deliberate plan may scrupulously follow the established guidelines and engage all the appropriate players, ultimately it is the usefulness of the plan in an actual incident that determines its value. Figure 34 below depicts the key inputs and outputs that are part of adapting a deliberate plan to meet the needs of crisis action planning.

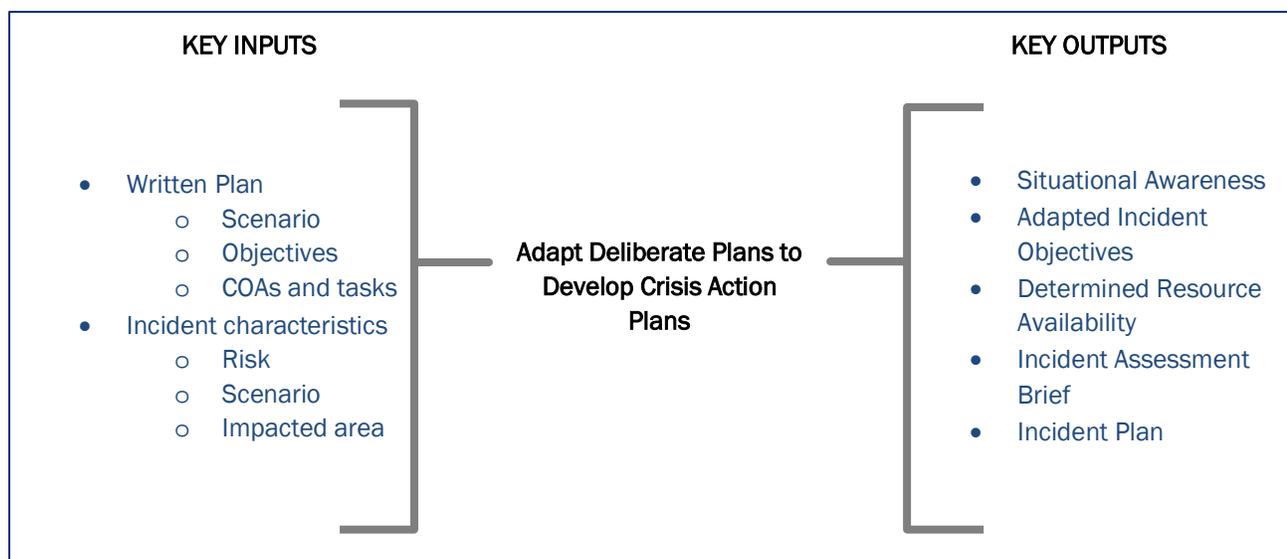


Figure 33: Adapting Deliberate Plans to Develop Crisis Action Plans.

The goal of deliberate planning is to produce plans that can be used, with as little modification as possible, to guide response and recovery activities and decision making when an actual incident occurs or threatens. The value of a deliberate plan to those who are dealing with an incident or an imminent threat depends on a number of factors. For example, how closely do the assumptions that planners used in developing the deliberate plan match circumstances in the actual incident?

A well-designed, highly applicable deliberate plan can provide much of the information incident personnel need to produce initial incident action plans, regional support plans, and national support plans. This gives staff in the planning support sections of the National Response Coordination Center (NRCC) and Regional Response Coordination Centers (RRCCs), as well as planning and operations section personnel at the Joint Field Office (or initial operating facility), a valuable head start in managing and supporting the incident.

When an incident occurs or seems imminent, planners develop plans at the incident management and support levels. They begin to plan and execute the deployment and employment of resources. Planners may develop a wide range of crisis action planning products at the incident, regional and national levels, such as:

- Incident
 - Incident Strategic Plan
 - Incident Action Plan
 - Advanced Operations Plan
 - Recovery Support Strategy
 - Functional Plans
- Regional
 - Regional Support Plan
 - Functional Plans
- National
 - National Support Plan
 - Functional Plans

Crisis action planning involves the same six-step planning process used for deliberate planning, but is conducted in a more compressed manner. Locating and consulting deliberate plans is part of the “Understand the Situation” step in the crisis action planning process. This assumes that the deliberate plans are available, and relies on the transition of the responsibility for plans to those who will ultimately use them. Communicating the existence of applicable plans, and where they can be found, is important during the beginning of any incident. The following sources may contain information relevant to deliberate plans:

- FEMA's disaster management system, WebEOC
- FEMA's enterprise shared workspace and intranet
- Other FEMA regional and national file sharing sites

The utility of any deliberate plan in developing FEMA’s crisis action planning products depends on the following factors:

- How congruent are the risks, threats, and hazards on which the deliberate plan is based to the actual situation planners are facing at the moment?
- How current is the plan in terms of its concept of operations and support, resource availability, and sourcing?
- What specific information does the plan contain that can be used quickly to guide crisis action planning and development of the crisis action planning products listed above?

Once deliberate plans have been identified and vetted, incident management and support staff apply the plans by:

- Replacing as many planning assumptions as possible with facts.
- Adjusting specific deliberate plan items, such as resource requirement estimates, based on the actual situation.
- Making corresponding changes to the deliberate plan's concept of operations and timelines, as required.

CRISIS ACTION PLANNING

As described above, the principal purpose of all deliberate planning activity is to inform and support incident operations. While the crisis action planning process includes the same six steps as the deliberate planning process, the actions taken within each are often very different. The amount of time spent in each step depends on the tasks to be done and the time available. The highly compressed timeframe required during crisis action planning often restricts the planning teams from a wide review of information, development of multiple options, or soliciting feedback on a plan before implementation. Each plan type will have its own creation procedure containing actions based on the specific requirements of the plan. In some situations, a plan may not initially exist on paper, and decisions may be reached in conference and initially communicated orally. However, any deviations from the six-step process are purposeful and thoroughly considered. Table 6 on the next page provides a comparison between the six steps in the standard planning process and the actions taken during crisis action planning. Figure 35 on page 88 shows the alignment of FEMA operational planning products.

Table 6: Crisis Action Plans and the Six Step Process

Planning Process Step	Crisis Action Planning Actions
Step 1: Form a Collaborative Planning Team	<ul style="list-style-type: none"> • During incident operations, collaborative planning teams are comprised of the Unified Coordination Staff at the incident management level, and the National and Regional Response Coordination Staff at the incident support level.
Step 2: Understand the Situation	<ul style="list-style-type: none"> • Review existing situation and spot reports from the situational awareness entities (e.g., National or Regional Watch Centers), program office (e.g., modeling), or stakeholders (e.g., State). • Attend meetings and briefings to acquire leadership intent and situational awareness. • Review applicable national and regional deliberate plans to locate key decisions, critical information requirements, planning assumptions, and the execution checklist. • Review and incorporate initial event analysis.
Step 3: Determine Goals and Objectives.	<ul style="list-style-type: none"> • Ascertain operational requirements (both completed, and to be performed). • Compare the execution of support operations to objectives by incident phase. This is most easily performed by comparing actual operations during the incident to the applicable plan's key decisions, execution checklist, and leadership performance measures; and the crisis action plan from the prior operational period. • Identify new or adjusted support objectives and priorities based on the situation, applicable plans and measures, and the Federal government's response. • Designate a specific time that planning actions, based on current resource allocation, will cease. Core capabilities tasks will need to be solidified for the next operational period by a certain time, even if resources are still being allocated and capabilities are changing.
Step 4: Plan Development	<ul style="list-style-type: none"> • Ensure that ESFs/RSFs, partners, and stakeholders add, update and/or remove Annex X tasks as needed. • Facilitate the sharing of objectives and support requirements. • Identify and list key decisions unique to the situation. Link decisions to critical information requirements and/or objectives or tasks. • Facilitate an Objectives and Tasks Meeting to: track the performance of tasks outlined in the prior operational period's crisis action plan; propose new tasks; and confirm new or adjusted support objectives and priorities based on the situation, applicable plans and measures, and the Federal government's actions. • Answer critical information requirements. • Revise and validate the operational tempo schedule and other administrative matters in the crisis action plan. • Draft the crisis action plan for the covered operational period.
Step 5: Plan Preparation, Review, and Approval	<ul style="list-style-type: none"> • Assess the execution of operational plans against recommendations for new or adjusted priorities, objectives and tasks. • Present to leadership the draft crisis action plan for the next operational period, for review and concurrence. • Circulate the final crisis action plan for the next operational period.
Step 6: Plan Implementation and Maintenance	<ul style="list-style-type: none"> • Revise and adapt tasks in the crisis action plan for the impending operational period. • Research and revise administrative and team personnel information. • Ascertain support operations and perform course of action analysis. • Compare the execution of support operations to what should have been done during this phase of the incident, as directed by applicable national and regional deliberate plans.

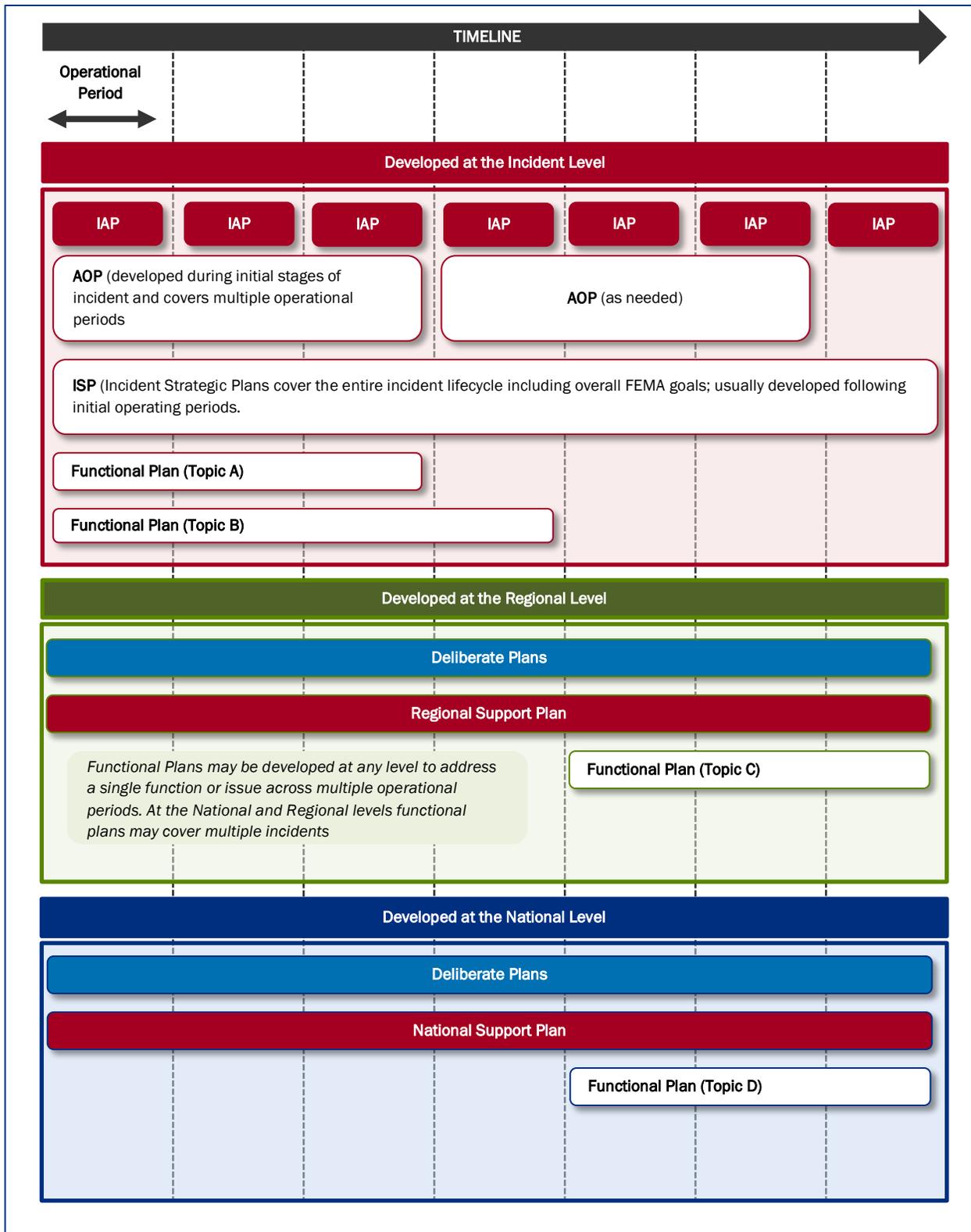


Figure 34: FEMA Operational Plan Alignment.

Crisis Action Planning Products

The following sections briefly describe crisis action planning products that FEMA may produce during an incident.

Incident Action Plan

The IAP is a written plan that contains the incident objectives and work assignments necessary to manage an incident during a specific operational period. It provides essential information regarding incident organization, resource allocation, work assignments, safety, and weather. It is also the primary tool for managing incidents for FEMA and all interagency partners involved in such operations. The incident action planning process includes a set of activities, repeated each operational period, that provides a consistent rhythm and structure to incident management.

Deliberate plans are used to inform the first two phases of the incident action planning process. The IAP process and deliverables are described in detail in the “FEMA Incident Action Planning Guide.” IAP efforts are focused on gaining an understanding of the situation, and establishing initial incident priorities. Deliberate plans at the Federal and SLTT levels may identify or suggest incident response priorities. Pertinent deliberate plans may also serve as guides to form initial incident objectives and tactics. The FEMA regional administrator or designee includes documentation from deliberate plans in the initial incident briefing, presented to the Federal coordinating officer and the command and general staff, to prepare them for assuming control of the incident.

The Planning “P” and the Operations “O”

The Planning “P” (Figure 36 on the next page) depicts the stages in the Incident Action Planning process. The leg of the “P” includes the initial steps to gain awareness of the situation and establish the organization for incident management. Although maintaining situational awareness is essential throughout the life cycle of the incident, the steps in Phase 1 are done only one time. Once they are accomplished, incident management shifts into a cycle of planning and operations, informed by ongoing situational awareness that continues and is repeated each operational period. This cycle, which is depicted in the barrel of the “P”, becomes the Operations “O,” (Figure 37 on the next page).

The Operational Period

An operational period is the period of time scheduled for executing a given set of operational actions as specified in the IAP. The length of the operational period, typically 12 to 24 hours at the beginning of an incident requiring extensive response efforts, is established during Phase 1 and subsequently reviewed and adjusted throughout the life cycle of the incident as operations require. When operations are focused primarily on recovery programs, operational periods are typically a week or longer.

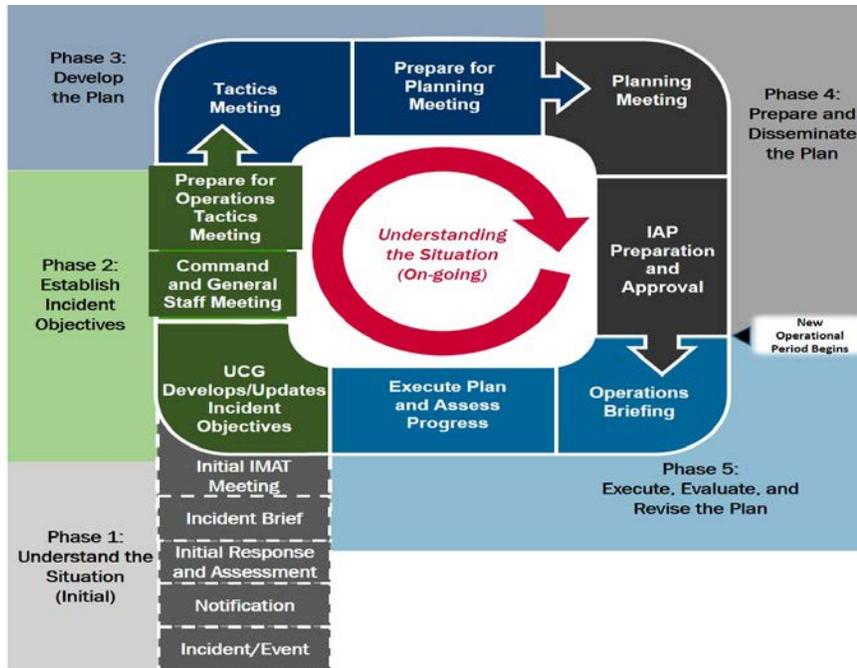


Figure 35: The Planning "P".

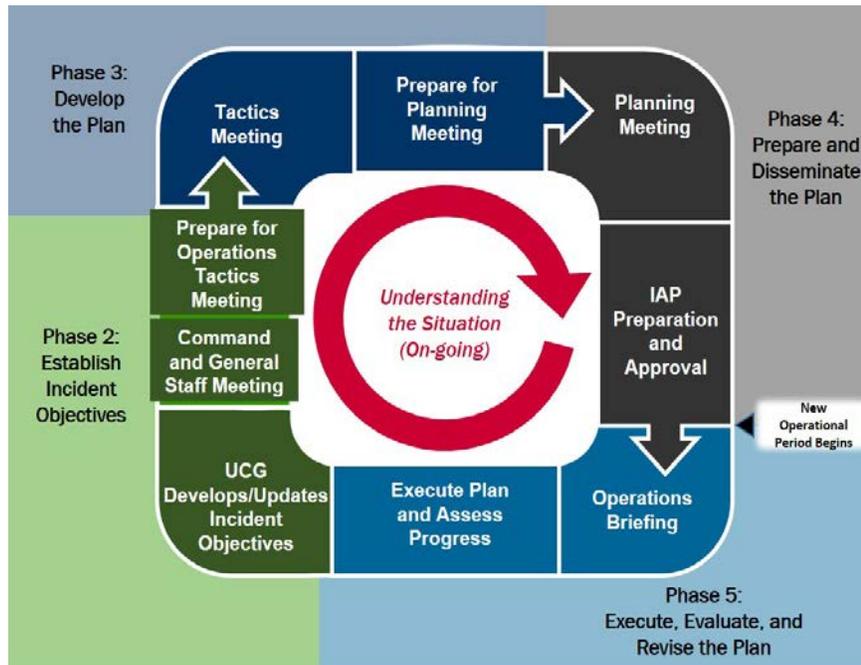


Figure 36: The Operations "O".

Advance Operational Plan

An Advance Operational Plan (AOP) estimates requirements and anticipates activities over multiple operational periods (typically three to seven days beyond the current operational period).

An AOP identifies and quantifies anticipated short-term critical resource requirements for operations (such as initial response resources, specialized teams, and aviation assets). The AOP is based on, and supports, incident objectives and priorities, and complements incident action planning. It includes short-term milestones that facilitate timely ordering, to ensure that resources are available when needed.

Additionally, the AOP provides a mechanism to synchronize other planning efforts beyond the current operational period, capture procedures derived from deliberate plans, and identify future resource requirements that may take longer to provide—or that will not be needed until later in the incident.

Incident Strategic Plan

The Unified Coordination Group (UCG) and Federal coordinating officer (UCG/FCO) are tasked by the “FEMA Incident Management and Support Keystone” to produce an incident strategic plan (ISP). An ISP is a written document that provides overall direction for incident management, and specifies milestones to be accomplished over time. It outlines the goals, operational priorities, and desired end state that enables the UCG to determine where it stands in the life-cycle of the incident, and when goals have been achieved. Longer-term goals form the foundation of the ISP, laying out when the UCG wants Response, Recovery, and Mitigation operations to occur along an incident timeline.

All incident plans directly or indirectly support the ISP. It should be developed, at least in skeleton form, as soon as possible after FEMA incident staff has begun unified operations. Information in the ISP is used to create additional crisis action planning products.

Existing and applicable deliberate plans may provide notional goals, priorities and an end state. They may also provide information to build an incident timeline, such as tasks by operational phase.

Recovery Support Strategy

The RSS is the document that outlines the unified approach that the FDRC and the Recovery Support Function (RSF) agencies will take to support SLTT governments’ disaster recovery needs and goals. The RSS is developed by the RSFs with the support of the FDRC staff. The RSS is not a recovery plan for SLTT governments.

The RSS identifies how the FDRC and RSFs will contribute to each jurisdiction’s attainment of the capacity to (1) develop, coordinate, manage, lead, and implement its own community recovery plans; and (2) help bridge resource shortfalls. The RSS provides an anticipated timeline for engaging with disaster-impacted communities, and the level, type, and duration of Federal support to be provided to the impacted jurisdictions.

Regional Support Plan (RSP)

The RSP provides a concise and coherent means of capturing and communicating the FEMA region's overall priorities, objectives, and tasks, in the context of initial response support activities from the Regional Response Coordination Staff (RRCS). The RSP is a forward-looking document intended to provide decision-makers and RRCS members with a snapshot of the coming operational period that includes a summary of the objectives for the RRCS and the incident or incidents being supported. Because the RRCC is normally active before incident management staff and the formal incident action planning process are in place, the RSP may be the initial plan for Federal support to an incident response.

For RSP development, planners rely upon deliberate plans to assist with situational awareness and resource support. Specifically, planners review deliberate plans for initial essential elements of information (EEIs) and CIRs that will drive situational awareness requirements. Planners also gather information regarding the mobilization of Federal resources to support the incident from the regional level. This includes any previously prescribed or agreed-upon resource planning efforts (i.e., pushes and pulls) contained in operational plans. Planners may also rely upon deliberate plans, especially during the first 24 to 48 hours, to help them create the tasks that the RRCS is responsible for accomplishing.

National Support Plan

The National Support Plan (NSP) is a forward-looking document that presents to decision-makers and the National Response Coordination Staff (NRCS) the non-routine (i.e., "by exception") tasks that the NRCS is responsible for accomplishing over the next operational period. In addition, the NSP provides the daily tempo for the NRCS. This includes the regular NRCC meeting schedule and other high-level meetings of which the NRCS needs to be aware (e.g., congressional hearings). The NSP is intended to promote unity of effort among the NRCS and senior leadership, by focusing them on the identified non-routine tasks. As a result, the NSP is immediately actionable rather than historical in nature; thus, it should be as concise as possible. Although the NSP is developed for internal NRCS use, the plan is shared with other organizations (e.g., the regions) to improve their situational awareness.

Development of the NSP involves review of deliberate plans for response resources, services, and program or policy decisions that cannot be resolved at the incident or regional levels. The NSP also uses deliberate plans to identify incident consequences or requirements that affect multiple FEMA regions or the entire Nation. Planning support section and other NRCS personnel consult deliberate plans for information on situations where national-level resources will be required. This predictive information informs initial crisis action planning by the NRCS. As the incident develops, incident-level personnel have a better idea of the resources needed and assume the resource-requesting function. The deliberate plans also provide initial information on the daily tempo for the NRCS, that can then be modified as the situation changes.

Functional Plans

Functional plans are vitally important to the success of response and recovery operations. The major difference between functional plans and other incident plans (i.e., the IAP, AOP, RSP, and NSP) is that functional plans focus exclusively on a particular function or programmatic issue, whereas the other incident plans focus on broader incident requirements and activities. Functional plans are developed using essentially the same six-step process that is used in developing deliberate plans. Functional plans may cover a range of small or large issues, such as how to support an influx of congressional visitors to a disaster site, or how to house hundreds of thousands of survivors in the wake of a catastrophic hurricane. They generally support, complement, and serve to implement the IAP, AOP, RSP, and NSP. Because several of these incident plans focus on several operational periods, functional plans also often cover more than one operational period.

Deliberate plans may provide a significant amount of information to support the creation of functional plans. SLTT deliberate plans will be reviewed to determine whether specific plans already in place may provide information and support the functional plan. For example, if a need for providing water to the affected population arises, planners may turn to deliberate plans to determine whether plans already in place include COAs for providing water.

CHAPTER SUMMARY

This chapter described how planners can adapt deliberate plans at the national, regional, and incident levels to meet crisis action planning needs. A compressed planning process was briefly described for use during crisis action planning, and current crisis action planning products were outlined, along with each plan's relationship to deliberate plans.

APPENDIX A: GLOSSARY

Activation: when a Federal (agency) asset is asked to provide support to an actual or potential incident from its primary work location (i.e., participate in information-sharing teleconferences, video teleconferences, and email communication)

Advanced operational plan (AOP): a plan that estimates requirements and anticipates activities over multiple operational periods (typically three to seven days beyond the current operational period)

Assumption: a supposition on the current situation or a presupposition about the future course of events. Assumptions are assumed to be true in the absence of positive proof, when it is necessary to enable the planning team to complete an estimate of the situation and make a decision on the course of action.

Capabilities: anything that could be used to reduce, mitigate, or eliminate a threat or hazard or its associated impacts

Capabilities-based planning: planning, under uncertainty, to provide capabilities suitable for a wide range of threats and hazards, while working within an economic framework that necessitates prioritization and choice

Collaborative planning team: a group of subject matter experts who provide particular expertise to support the core planning team

Concept of operations (CONOPS): a written or graphic statement that expresses what the senior leader intends to accomplish, and how it will be done

Concept of support: a written statement that establishes priorities and synchronizes critical logistic actions that will occur before, during, and after the incident to support the concept of operations

Constraints: requirements placed on the organization or individual by a higher level of authority that dictate or prohibit an action not planned for, thus restricting courses of action

Core capabilities: distinct critical elements necessary to achieve the National Preparedness Goal

Core planning team: a group of individuals representing organizations responsible for plan execution, which develops and writes the actual plan, contributes to planning efforts, and helps to facilitate, organize, and carry out planning events

Course of action (COA): a strategy that explains how a mission is to be accomplished and what resources are required

Crisis action planning: a reactive planning process to address an imminent or ongoing situation

Critical information requirements (CIRs): specific types of high-priority information that require immediate leadership notification and involvement (e.g., a dam failure or levee breach)

Decision point: a point in time when the leader or staff anticipates making, or must make, a key decision

Deliberate planning: a proactive six-step planning process to address a potential situation or risk

Drill: a coordinated, supervised activity usually employed to test a specific operation or function within a single entity (e.g., a communicator notification test)

End state: a statement, defined by the SLSC, describing the desired situation that will exist when the plan has been successfully accomplished

Essential elements of information (EEIs): comprehensive lists of information requirements that provide context, inform decision-making, contribute to analysis, and populate the information collection schedule

Facts: *known* data or information that can be substantiated

Full-scale exercise (FSE): a multi-agency, multi-jurisdictional, multi-discipline exercise involving functional (e.g., RRCC, EOC, etc.) and actual field responses (e.g., commodities being transported to an incident support base)

Functional exercise (FE): examines the coordination, command, and control among various multi-agency coordination centers (e.g., between an RRCC and a JFO) without the actual deployment of field resources

Functional plan: a problem-solving plan developed as needs arise, using an accelerated version of the six-step planning process that may cover a range of relatively small issues, such as how to support an influx of congressional visitors to a disaster site, or large issues, such as how to house hundreds of thousands of survivors in the wake of a catastrophic hurricane

Goal: a refined, general statement generated from the operational priorities identified by leaders, decision makers, and planners; a statement that describes the overall intended outcome

Hazard: a natural occurrence that is potentially dangerous or harmful; often the root cause of an unwanted outcome

Incident: an occurrence or event - natural or man-made - that requires a response to protect life or property

Incident action plan (IAP): a written plan containing general objectives reflecting the priorities for managing an incident. These priorities may include the identification of operational resources and

assignments, attachments that provide direction, and important information for management of the incident for the operational period.

Incident management: incident-level operation of the Federal role in mitigation, emergency response, recovery, and logistics. Responsibilities include the direct control and employment of resources, management of incident offices, operations, and delivery of Federal assistance through all phases of emergency response.

Incident support: coordination of Federal resources that support mitigation, emergency response, recovery, and logistics

Incident strategic plan (ISP): a written document that provides overall direction for incident management, and specifies milestones to be accomplished over time, to achieve a desired end state

Information analysis brief (IAB): presents the results of research and analysis in an organized manner, and the threat or hazard in terms of operational impact

Intent: A concise expression of the purpose of the operation and the desired end state

Limitation: a factor or condition that either temporarily or permanently impedes mission accomplishment

Mission statement: defines the plan's purpose and primary objectives; a clear statement of the action to be taken and the purpose for doing so

Mitigation: capabilities necessary to reduce loss of life and property, by lessening the impact of disasters

Mitigation planning: planning that identifies a strategy that can be implemented over the long term to reduce risk and future losses, including the loss of life and property, by lessening the impact of disasters

National support plan (NSP): a forward-looking document that presents to decision makers and the NRCS the non-routine (i.e., "by exception") tasks that the NRCS is responsible for accomplishing over the next operational period

Objective: a clearly defined, decisive, and attainable outcome that requires action. When reached or met, an objective provides the desired incident outcome by a specified date or time frame.

Operational approach: a description of the broad actions planners must take to transform current conditions into those desired at end state

Operational environment: the geographical, cultural, socioeconomic, and political factors that affect the deployment, staging, employment, and redeployment of resources; and influence the decision-making process

Operational impacts: the damages, effects, and outcomes of the scenario

Operational plan: A FEMA-developed document that expresses what an entity intends to accomplish to address threats, hazards, or incidents, and how it will do so

Operational phases: provide a common structure for organizing tasks. The phased approach shapes effective planning by grouping tasks into common periods. Phases also organize multiple Agency tasks required to meet objectives.

Planning notification: an invitation that summarizes the nature of the plan to be developed, provides the major dates in the plan's development, and requests participation from FEMA divisions and branches, as well as personnel from supporting agencies outside of FEMA

Planner: an individual engaged in, or responsible for, the coordination, research, analysis, development, execution, and support of planning initiatives

Planning team leader: the individual responsible for facilitating the planning process, and integrating all parts of the plan

Physical effects: data used to characterize the scope, severity, and magnitude of the scenario

Preparedness: the actions taken to plan, organize, equip, train, and exercise, to build and sustain the capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation

Prevention: capabilities necessary to avoid, prevent, or stop a threatened or actual act of terrorism

Protection: capabilities necessary to secure the homeland against acts of terrorism and man-made or natural disasters

Recovery: capabilities necessary to assist communities affected by an incident to recover effectively

Recovery planning: planning that identifies tactics to assist communities affected by an incident to recover effectively

Recovery support strategy (RSS): the document that provides the unified strategy or approach that FDRC and RSF agencies will take to support State, tribal and local governments

Regional support plan (RSP): provides a concise and coherent means of capturing and communicating the overall incident priorities, objectives, and tasks in the context of initial response support activities from the RRCS

Research: a process conducted to help understand the situation and frame the problem. Planners conduct research continuously throughout the planning effort to identify facts, resources, and capabilities.

Response: capabilities necessary to save lives, protect property and the environment, and meet basic human needs after an incident has occurred

Response planning: planning that identifies tactics to save lives, protect property and the environment, stabilize communities, and meet basic human needs following an incident

Risk: potential for an unwanted outcome resulting from an incident, event, or occurrence, as determined by its likelihood and the associated consequences

Risk analysis: systematic examination of the components and characteristics of risk

Risk assessment: Product or process that collects information and assigns values to risks for the purpose of informing priorities, developing or comparing courses of action, and informing decision making

Seminar: an informal discussion designed to orient participants to new or updated plans, policies, or procedures (e.g., a rollout or review of a new standard operating procedure)

Senior leader's intent: provides guidance from the leadership to those developing the plan, defines what the plan must accomplish, and provides other pertinent information

Senior leadership steering committee (SLSC): the entity with the authority to approve plans and planning products

Stakeholders: people or organizations that may be affected by a policy or action

Strategy: A carefully devised plan of action to achieve one or more objectives

Subject matter expert (SME): (1) An individual who has expertise in a business process or specific area; (2) A person with direct knowledge of what is done in a job; what knowledge, skills, abilities, and other characteristics are required; and the general background of persons who are able to do the job successfully

Tabletop exercise: features key personnel discussing scenarios in an informal setting for the purpose of assessing plans, policies, and procedures (e.g., to uncover potential gaps and seams in a new process)

Task: a specific work activity

Threat: natural, technological, or human-caused occurrence, individual, entity, or action that has harmed or indicates the potential to harm life, information, operations, the environment, and/or property

Whole Community: a philosophical approach predicated on engagement of the broadest possible range of stakeholders, including residents, emergency management practitioners, organizational and

community leaders, and government officials, to chart an effective path to societal security and resilience

Workshop: resembles a seminar but is used to develop specific products (e.g., a draft plan or policy), or to test and refine specific elements of a plan

Work plan: a tool for managing planning projects that describes the planning project as a whole

APPENDIX B: ACRONYM LIST

AOP	Advance Operational Plan
AAR	After Action Report
AHP	All-Hazards Plan
C2	Command and Control
CAP	Corrective Action Program
CIKR	Critical Infrastructure and Key Resources
CIR	Critical Information Requirement
CFR	Code of Federal Regulations
COA	Course of Action
CONOPS	Concept of Operations
COR	Contract Officer's Representative
CPCB	Community Planning and Capacity Building
CPG 101	Comprehensive Preparedness Guide 101
CPG 201	Comprehensive Preparedness Guide 201
DDS	Design and Development System
DHS	Department of Homeland Security
DMSWG	Distribution Management Strategic Working Group
DOD	Department of Defense
DPMU	Disaster Portable Morgue Unit
Econ	Economic RSF
EEI	Essential Elements of Information
EM	Emergency Manager
EMAC	Emergency Management Assistance Compact

EMS	Emergency Medical Services
EOC	Emergency Operations Center
ESF	Emergency Support Function
FCO	Federal Coordinating Officer
FDRC	Federal Disaster Recovery Coordinator
FE	Functional Exercise
FEMA	Federal Emergency Management Agency
FIOP	Federal Interagency Operational Plan
FSE	Full Scale Exercise
GIS	Geographic Information System
GSA	General Services Administration
HITRAC	Homeland Infrastructure Threat and Risk Analysis Center
HS	Housing RSF
HSEEP	Homeland Security Exercise and Evaluation Program
HSPD-5	“Homeland Security Presidential Directive – 5”
HSS	Health & Social Services RSF
IAB	Information Analysis Brief or Information Analysis Briefing
IAP	Incident Action Plan or Incident Action Planning
ICS	Incident Command System
IMT	Incident Management Team
IND	Improvised Nuclear Device
IOF	Initial Operating Facility
IPR	In-progress Review
IS	Infrastructure Systems RSF
ISP	Incident Strategic Plan

JFO	Joint Field Office
LCAT	Logistics Capability Assessment Tool
LPRAT	Logistics Planning, Readiness and Assistance Team
NCR	Natural and Cultural Resources RSF
NDRF	“National Disaster Recovery Framework”
NED	National Exercise Division
NEP	National Exercise Program
NEXS	National Exercise Schedule
NGO	Nongovernmental Organization
NIMS	“National Incident Management System”
NOAA	National Oceanic and Atmospheric Administration
NOC	National Operations Center
NPD	National Preparedness Directorate
NPG	National Preparedness Goal
NRCC	National Response Coordination Center
NRCS	National Response Coordination Staff
NRF	“National Response Framework”
NSP	National Support Plan
OFA	Other Federal Agency
PNP	Private Nonprofit
PPD-8	“Presidential Policy Directive 8: National Preparedness”
RMG	Resource Management Group
RRCC	Regional Response Coordination Center
RRCS	Regional Response Coordination Staff
RSF	Recovery Support Function

RSP	Recovery Support Plan
RSS	Recovery Support Strategy
SA	Situational Awareness
SA/COP	Situational Awareness/Common Operating Picture
SAR	Search and Rescue
SLSC	Senior Leadership Steering Committee
SME	Subject Matter Expert
SNRA	Strategic National Risk Assessment
TEPW	Training and Exercise Planning Workshop
THIRA	Threat Hazard Identification and Risk Analysis
UACG	Unified Area Coordination Group
UC	Unified Command
UCG	Unified Coordination Group
USAR	Urban Search and Rescue
USGS	United States Geological Survey

APPENDIX C: DELIBERATE PLAN TEMPLATE

1. FEMA Response Doctrine Unit (*Component that created the plan*)
2. MM-YYYY (*date*)
3. Title: Deliberate Plan Template

[page break]

[Insert a Table of Contents by selecting the References tab in Microsoft Word and using the automatic Table 1 format. Include, using the References tab in Microsoft Word, a list of any figures, including maps, charts, and other relevant documents deemed essential to comprehension of the plan.

All FEMA deliberate plans conform to “DHS House Style Guidelines,” including the use of fonts and primary/secondary color palettes. Standard fonts are Joanna MT, Franklin Gothic, and Times New Roman.]

[page break]

1. SITUATION

The *Situation* paragraph describes the plan’s purpose, provides background information, identifies any impact on existing authorities, briefly describes the threat or hazard and the potential effects, and identifies critical considerations and assumptions. The situation paragraph provides senior leaders and planners with an understanding of what will happen in the context of a given incident, and thus allows them to orient to the expected conditions.

FEMA produces deliberate plans that are focused on end users at the incident level. Because plans are used by many end users, plans must conform to common standards for process as well as products. The deliverables associated with the planning process described in this manual are produced under a standard plan format designed to ensure that the following principles are followed:

- Interoperability of plans – end users and operations personnel need to be able to quickly access and use all deliberate plans.
- Measurable success for planning efforts.
- National, consensus standard for deliverables.
- (All lists, including bullets, are multi-level lists in Microsoft Word).

This template is designed to guide standard planning products that support those goals. The product that comes out of the planning process is organized in five (5) numbered paragraphs. The five paragraphs constitute the base plan, and are numbered using the multi-level list function in Microsoft Word. The standard composition is outlined below in Figure 38.

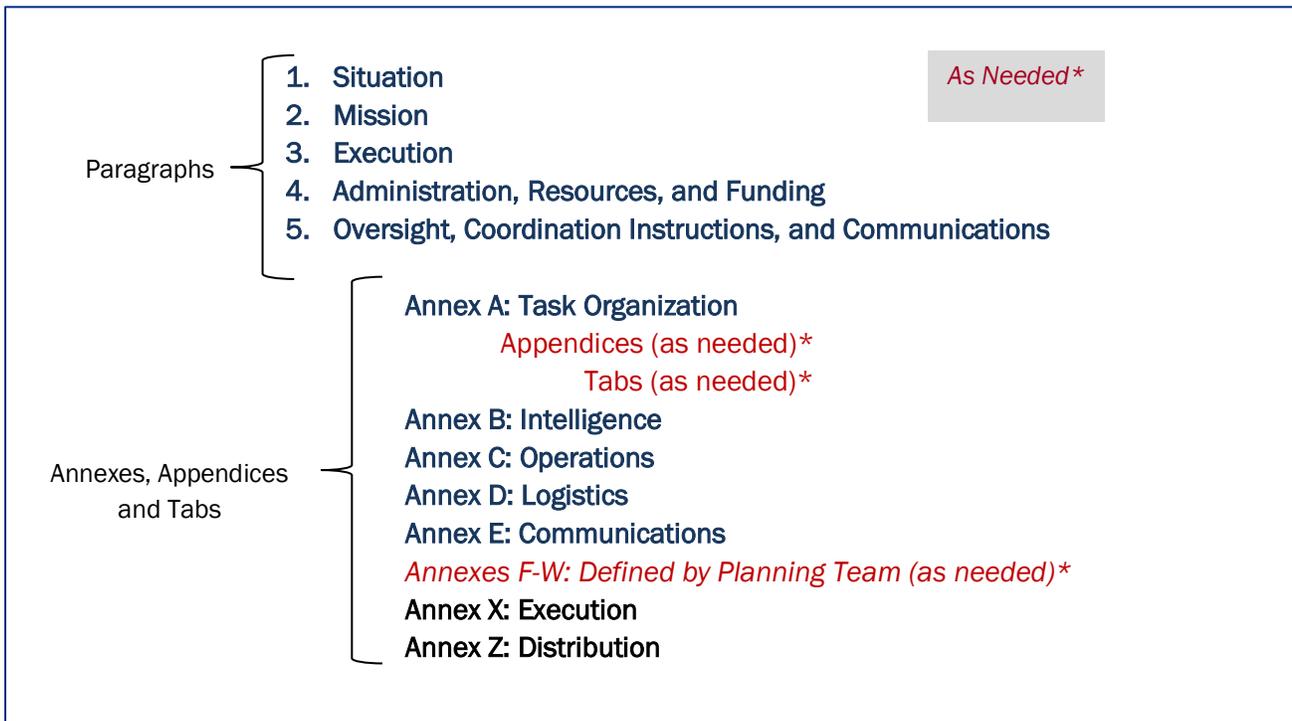


Figure 37: FEMA Standard Operational Plan Composition.

Annexes are used to provide information not found in the base plan. Below, each of the five paragraphs, as well as the required annexes and optional appendices, is described in detail. Annexes are numbered alphabetically, again using multi-level lists. Appendices are, in turn, supplemented by tabs, as follows:

- 1) Base Plan (Paragraphs)
 - a) Annexes
 - i) Appendices
 - (1) Tabs

2. MISSION

The *Mission* paragraph states the senior leader’s intent and the end state, as a mission statement. This should be a short sentence or paragraph that describes the essential task or tasks and the purpose—in other words, a clear statement of the action to be taken and the purpose for doing so. The mission statement contains the elements of who, what, when, where, and why, but seldom specifies how. Table 7 on the next page provides a description of common principles for using tables.

Table 7: EXAMPLE - Table Format

Tables	Table Column 2
Use of Tables	Tables are useful ways of displaying lists or comparative information. Tables should be cleanly and clearly formatted for ease of use, and should use different fonts than the body text of the document. All tables should be in identical formats, and should conform to DHS House Style guidelines.

3. EXECUTION

The *Execution* paragraph describes the CONOPS and defines key Federal roles and responsibilities for participating departments and agencies, as well as coordination requirements for state, tribal, and local governments, NGOs, and the private sector. It also identifies key Federal decisions, Federal actions required and prohibited, and CIRs.

4. ADMINISTRATION, RESOURCES, AND FUNDING

The *Administration* portion of this paragraph includes the responsibility for management oversight of all administrative and logistical requirements supporting operations, Finance/Admin section chief responsibilities, coordination of State mutual aid agreements, financial oversight, and personnel administrative management responsibilities.

The *Resources* portion identifies sustainment priorities and resources, site development, and interagency responsibilities; the priority and movement of major resources for each phase of the operation; national and regional resupply nodes; transportation policies, guidance, and procedures; resource and transportation assumptions; and detailed planning requirements and subordinate tasks. FEMA’s “Incident Management Handbook”, FEMA Qualification System and other relevant doctrine should be used to provide guidance on items such as:

- Assignment of tasks for establishing and operating personnel facilities
- Managing accurate and timely personnel accountability and strength reporting
- Making provisions for staffing
- Administrative management of participating personnel
- Reconstituting personnel
- Leadership replacement and rotation policies
- Required individual augmentation to Headquarters and other operational requirements

The *Funding* portion describes how Federal funding for operations will occur. This portion should be in alignment with relevant FEMA doctrine including the Financial Management Support Annex to the “National Response Framework.”

5. OVERSIGHT, COORDINATING INSTRUCTIONS, AND COMMUNICATIONS

The *Oversight* portion identifies the organization or individual that will exercise oversight of the operation.

The *Coordinating Instructions* lists the common instructions applicable to the entire department or agency, or two or more components within a department, that are necessary for proper coordination of the operation. Coordinating instructions establish, in particular, the conditions for execution. Examples include the time or condition when a plan or an order becomes effective, risk reduction control measures, and environmental considerations. This portion should identify departments and agencies, including interagency centers that have coordination responsibilities during the operation.

The *Communications* portion identifies which entity will establish communications with applicable communities of interest. It also identifies specific communications systems that will be used during the operation.

ANNEXES

Plans are frequently supplemented by annexes to address specific functions or threats/hazards. This information should be presented consistently across plans. Information is placed in annexes because it includes more detail than can be provided in the base plan paragraphs. Information with specific audiences or uses, which can stand alone, is placed in annexes.

Most annexes (especially those that can stand alone) should **reflect the same paragraphs as the base plan, for completeness**. Though annexes are composed of the same five paragraphs used in the base plan, their content is not duplicative, but designed to provide content-specific additional information for each paragraph. The purpose of this effort is to avoid duplication, maintain common plan structures, and still provide usable, easily accessible information at a greater degree of resolution than the base plan.

1. **Situation:** Summarizes base plan situation, and provides key information that impacts the subject of the annex.
2. **Mission:** Describes overall mission, and provides further detail on subset of that mission.
3. **Execution:** Locates the annex in the overall execution, and focuses narrowly on execution of that annex.
4. **Administration, Resources, and Funding:** Summarizes base plan paragraph, and focuses on a narrower scope.
5. **Oversight, Coordinating Instructions, and Communications:** Summarizes base plan paragraph, and focuses on a narrower scope.

While FEMA deliberate plans may include any number of annexes, all FEMA deliberate plans include the following annexes at a minimum:

- Annex A: Task Organization
- Annex B: Intelligence
- Annex C: Operations
- Annex D: Logistics
- Annex E: Communications
- Annexes F-W: Defined by Planning Team as needed
- Annex X: Execution
- Annex Z: Distribution

Annex A: Task Organization

This annex describes how operational elements organize to accomplish assigned tasks. For FEMA plans, this Annex typically describes a Geographic, Functional or Combination organizational structure that supports the planned operation. In a geographic organization, responsibility for managing the incident is divided into geographic units called divisions and, depending on the number of divisions, geographic branches. In a functional organization, responsibility for incident management is organized strictly by function without the establishment of geographical units. For FEMA, function generally refers to FEMA programs.

This annex also prioritizes tasks that are essential to accomplishing the mission, and defines broadly by whom and in what sequence the tasks will be accomplished. The focus of this annex is on operational responsibility, not on the detailed execution of tasks by phase. Detailed information pertaining to phase-specific tasks and execution schedule is expounded upon in Annex X.

Typically Annex A includes a synchronization matrix, associating tasks broadly with relevant operational elements. This demonstrates the assigned areas of responsibility for the plan. Table 8 below provides an example of tasks excerpted from a synchronization matrix.

Table 8: EXAMPLE - Excerpted Tasks from Synchronization Matrix

Lead Element (ESF Agency / Responsible Section)	Organization (ESF)	Core Capability	Task
FEMA/Recovery Directorate/IA/Mass Care	ESF #6	Critical Transportation	Identify shortfalls and use additional capabilities to transport identified populations, support required pet evacuation capabilities, and provide reception capabilities throughout the impacted area and surrounding region, while maintaining tracking of evacuees
FEMA Recovery / IA / Mass Care	ESF #6	Mass Care Services	Identify shortfalls and anticipate potential areas for possible support services

The synchronization matrix provides an overview of operational activity by phase, including the defined start and end conditions associated with each operational phase, and the key actions which occur within each phase and sub-phase.

Figure 39 below provides an example of how synchronization matrices are often configured.

ESF / Program Area / Team	1a	Phase 1	1c	2a	Phase 2	2c	Phase 3
	1a	1b	1c	2a	2b	2c	
	• Start • End State						
ESF 1	•	•	•	•	•	•	•
ESF 2	•	•	•	•	•	•	•
ESF 3	•	•	•	•	•	•	•
ESF 4	•	•	•	•	•	•	•
ESF 5	•	•	•	•	•	•	•
ESF 6	•	•	•	•	•	•	•
ESF 7	•	•	•	•	•	•	•
ESF 8	•	•	•	•	•	•	•
ESF 9	•	•	•	•	•	•	•

Figure 38: EXAMPLE - Synchronization Matrix Format.

Appendix 1

Appendices are separate subordinate sections within Annexes. There are no mandatory or standard appendices. Whenever the content of an annex is of sufficient size and scope that it warrants additional materials, attachments or explanations, this information will fall into an appendix to that annex. Appendices typically include decision support tools such as diagrams, operational design material, checklists, tables, background data, or other information which supports the content of the annex. Appendices are numbered, not lettered, and may be added at the discretion of the planning team.

Tab 1.1

Tabs are the lowest constituent distinction within plans and they provide supporting, hazard-specific, or otherwise augmenting material to appendices. Tabs are assigned decimal numbers (e.g. 1.1, 1.2) beneath the appendices. There are no mandatory or standard tabs.

Annex B: Intelligence

This annex defines the elements of information that decision makers must have to accomplish the mission, including risk and operational impact assessments. Figure 40 on the next page depicts mitigation information which might be included in an intelligence annex.

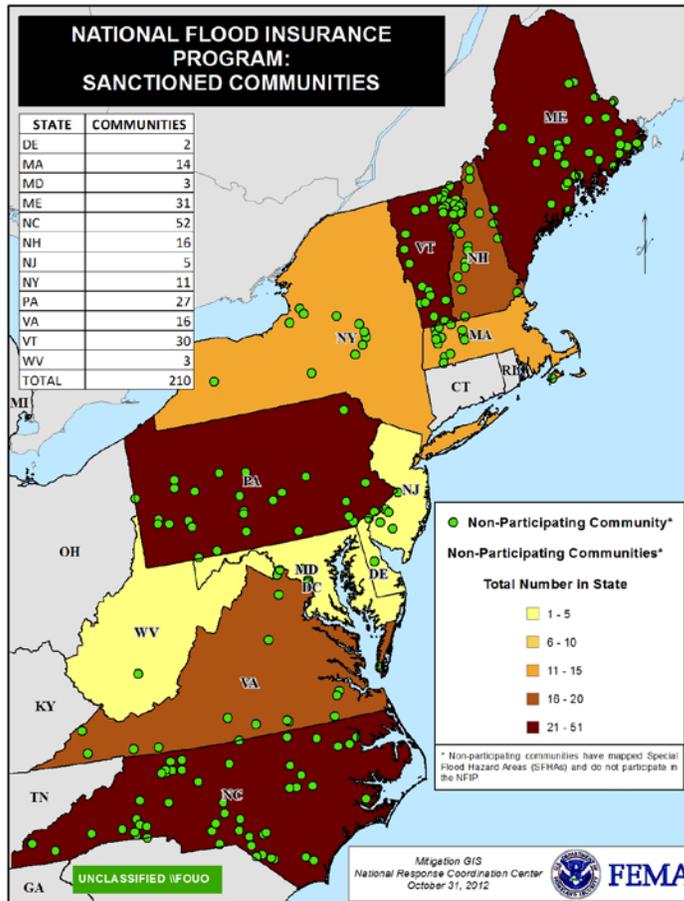


Figure 39: EXAMPLE - Mitigation Information Concerning Flood Insurance.

It also identifies specific elements of information (EEIs) as CIRs that must be communicated to decision-makers immediately when pertinent new information is received. The annex describes the collection process and sources for the EEIs, the analytic method, and the process for disseminating plans. The information collection schedule consolidates this guidance in tabular form, and is provided as an appendix or attachment to the annex. Figure 41 on the next page provides an example of an information collection schedule.

Essential Element of Information	Specific Information Required	Proposed Sources	Responsible Elements	Deliverable	Time Frame
<p>Characteristics of tsunamis as a result of the earthquake</p> <p>(Tsunami Warnings and Advisory)</p>	<ul style="list-style-type: none"> • Tsunami, ancillary events • Expected landfall (date/time) • Inundation areas (location) • Number of waves • Wave heights • What areas are under warning • Distance it is expected to travel (both west and east) • Action being recommended 	<ul style="list-style-type: none"> • U.S. Geological Survey • National Weather Service • USAR • NOAA • West Coast and Alaska Tsunami Warning Center • Pacific Tsunami Warning Center • Inundation maps • HITRAC 	<ul style="list-style-type: none"> • ESF 5 	<ul style="list-style-type: none"> • GIS Products/Modeling • SA/COP • Public Messaging and Warnings 	
<p>Tsunamis due to after-shock</p>	<ul style="list-style-type: none"> • Same as above 	<ul style="list-style-type: none"> • U.S. Geological Survey • National Weather Service • USAR • NOAA • West Coast and Alaska Tsunami Warning Center • Pacific Tsunami Warning Center 	<ul style="list-style-type: none"> • ESF 5 	<ul style="list-style-type: none"> • GIS Products/Modeling • SA/COP • Public Messaging and Warnings 	

Figure 40: EXAMPLE - Sample Excerpt from Information Collection Schedule.

The annex also outlines any extraordinary issues with regard to the information management roles and responsibilities, and interoperability among the planning section of the Unified Coordination Staff and the situational awareness sections of the Regional Response Coordination Staff (RRCS) and the National Response Coordination Staff (NRCS).

Annex C: Operations

The Operations Annex is used to provide a detailed description of the Concept of Operations for each phase of the operation. The standard format for this annex is consistent with the standard five primary paragraph plans. Figure 42 on the next page provides an example of a graphic depicting a response CONOPS.

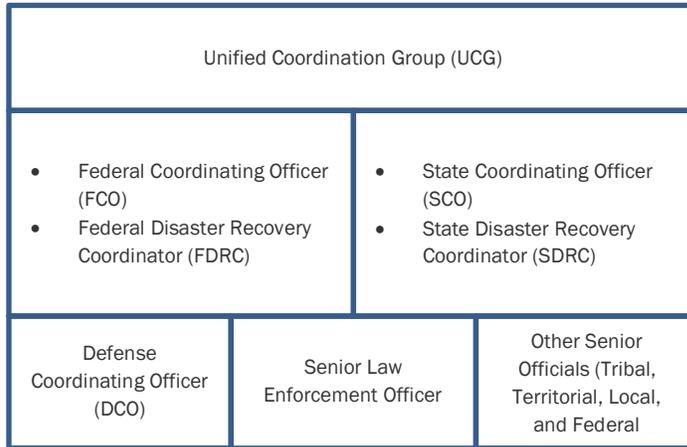


Figure 41: EXAMPLE - Sample Graphic Depicting a UCG for a Large, Complex Incident

In addition to providing detailed information regarding the CONOPS, Annex C will also broadly define objectives and end states for each operational phase covered by the plan. This information is expounded upon in appendices, which address objectives by phase, for each core capability described in the plan.

Appendix #: (Core Capabilities)

A separate appendix for each core capability described in the plan outlines the primary responsibilities for conducting activities that support each core capability. Core capability appendices address objectives by operational phase.

This does not require a separate “Tab” for each phase. Not every core capability is addressed in every operational plan. However, Figure 43 on the next page presents the standard order (alphabetical by mission area) for core capability appendices.

Mission Areas	Core Capabilities	Annex	Appendix
All	Planning	C	1
	Public Information and Warning	C	2
	Operational Coordination	C	3
Mitigation	Community Resilience	C	4
	Long-term Vulnerability Reduction	C	5
	Risk and Disaster Resilience Assessment	C	6
	Threats and Hazard Identification	C	7
Response	Critical Transportation	C	8
	Environmental Response/Health and Safety	C	9
	Fatality Management Services	C	10
	Infrastructure Systems	C	11
	Mass Care Services	C	12
	Mass Search and Rescue Operations	C	13
	On-scene Security and Protection	C	14
	Operational Communications	C	15
	Public and Private Services and Resources	C	16
	Public Health and Medical Services	C	17
Situational Assessment	C	18	
Recovery	Economic Recovery	C	19
	Health and Social Services	C	20
	Housing	C	21
	Infrastructure Systems	C	22
	Natural and Cultural Resources	C	23

Figure 42: Standard Order - Core Capability Appendices.

Annex D: Logistics

This annex identifies any unique features of incident management and support as they pertain to the logistics section of the Unified Coordination Staff or the resource support sections of the RRCS or the NRCS. The annex specifies logistics support that is essential to accomplishing the mission, including location of pre-designated staging areas and points of distribution, as well as detailed information concerning sourcing for required assets, etc.

Typically this annex will also detail the time-phased deployment of resources. Figure 44 on the next page depicts a common logistics concept known as “time-phased deployment” which structures the deployment of resource by time during each phase, to avoid conflicts and maintain accountability of resources. See Appendix D for a sample template for Annex D.

Resource	Operational Phase	Responsible Operational Element	Mission Area	Core Capability	Objective supported	Ship Via Air/ Ground/ Sea	Time Frame		
							1	2	3
BABY FORMULA - 225,000 servings. Augment with an additional 225,000 every 3 days.	Phase 2a	USDA, ESF 6 & 7	Response	Planning	R2a.1	air	X		
BABY FOOD - 360,000 servings. Augment with an additional 360,000 every 3 days.	Phase 2a	USDA, ESF 6 & 7	Response	Planning	R2a.1	air	X		
PORTABLE REFRIGERATION VANS (self-powered) - 50. Augment as required	Phase 2a	ESF 6, 7, & 8	Response	Planning	R2a.1	ground		X	
JFO/AFO OFFICE SPACE	Phase 2a	ESF 5, 7, & 13	Response	Planning	R2a.1	n/a		X	
JFO/AFO KITS	Phase 2a	ESF 7	Response	Planning	R2a.1	air			X
JFO/AFO PERSONNEL	Phase 2a	ESF 5, 7, & 13	Response	Planning	R2a.1	air			X

Figure 43: EXAMPLE - Excerpted Time-Phased Deployment Checklist.

Annex E: Communications

This annex describes how electronic communications will be established and maintained to accomplish the plan’s mission. See the Response core capability appendix for “Critical Communication” for additional details on what must be addressed in this annex.

Annexes F-W: (Defined by planners as needed)

Additional annexes may be included at the discretion of the planners. These annexes can include narrowly focused information such as scenario, or hazard-specific information. Planners do not need to use every letter of the alphabet; however, regardless of how many annexes are included, the plan always concludes with two more standard annexes: X and Z.

Annex X: Execution

The execution checklist is an essential tool to track progress during execution of the plan. After the COA decision brief, planners convert the written description of the concept of operations into tasks by position, agency, or ESF/RSF that will be tasked to accomplish objectives. The checklist should be organized sequentially by phase. Tasks that populate the execution checklist are derived from Annex C: Operations.

- The execution checklists will list significant tasks contained in the base plan and in Annex C Operations.
- It is important to identify who will accomplish each task and when it should be accomplished (if known).
- The Execution Checklists should be written as standalone documents.

Figure 45 below provides an example of information from an execution checklist.

Core Capability	ESF/RSF	Agency	Task	Start Date	End Date	Initials
Phase 1a - Normal Operations						
Infrastructure Systems (IS)	ESF 12	DOE	SCD and FEMA will coordinate ESF #12 efforts to ensure efficient and timely power restoration. This coordination will address hazardous materials (hazmat) conditions caused by the storm's impact.			
Phase 1b - Increased Likelihood						
Infrastructure Systems (IS)	ESF 12	DOE	Establish communications with regional utility for shared situational awareness.			
Phase 1c - Near Certainty						
Infrastructure Systems (IS)	ESF 5	DEM	In coordination with ESF #12, determine the availability of out-of-region resources and the readiness of energy infrastructure in the impacted area.			
Phase 2a - Activation, Situational Assessment and Movement						
Infrastructure Systems (IS)	ESF 12	DOE	The Operations Section will set power restoration priorities in coordination with the regional utility. ESF #12 will include the specific priorities in the Incident Action Planning (IAP) process.			
Phase 2b - Employment of Resources and Stabilization						
Infrastructure Systems (IS)	ESF 12	DOE	Liaise with regional utility on responder base camp housing, feeding, and transportation of assets (people, equipment, and supplies) requirements and communicate to Logistics Section.			
Phase 3 - Sustained Operations						
Infrastructure Systems (IS)	ESF 12	DOE	Coordinate with regional utility to support UCG priorities and operational objectives as well as to maintain situational awareness.			

Figure 44: EXAMPLE - Excerpted Execution Checklist Information for Single Core Capability.

Annex Z: Distribution

Annex Z is always included as the final standard annex, ensuring that the instructions for disseminating the plan are always easily found. This annex describes the distribution concept including limitations, distribution policies and directives, and the distribution method.

APPENDIX D: EXAMPLE ANNEX D STRUCTURE

This sample appendix is illustrative only. FEMA Logistics maintains current annex templates and requirements.

1. SITUATION

Briefly summarize the situation from the base plan. It is important not to duplicate the content addressed in the base plan, or annex B, but to provide logistics support specific information included in the scenario, physical effects, operational impacts and planning factors by core capability. The purpose of this situation paragraph is to identify the critical considerations needed to address logistics support.

2. MISSION

State the senior leader's intent / mission statement. Describe how the overall plan mission statement informs and drives the logistics mission. This should be a short sentence or paragraph that describes the essential task(s) and purpose—a clear statement of the action to be taken and the purpose 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 logistics operations. The Annex D mission paragraph should include a more in depth description of the goals and objectives, by core capability, which will be addressed by logistics. The base plan will contain courses of action for each objective by core capability. The Annex D mission will include more detail concerning COAs for the conduct of logistics operations.

Authorities: Identify any impacts on existing authorities exercised under Federal laws, policies, or strategies by the senior leader (see base plan to avoid duplication).

3. EXECUTION

Describe the logistics support concept of operations; define key Federal roles and responsibilities for participating departments and agencies, and coordination requirements for State and local governments, NGOs, and the private sector. Identify key Federal decisions, Federal actions required and prohibited, and Critical Information requirements (CIR).

Concept of Support: The Concept of Support for logistics clearly and concisely expresses what logistics support is required to achieve the end-state of the plan and Conops. The concept of support states how support is accomplished using available services and resources. It describes how the actions of department and agency components and supporting organizations will be integrated, synchronized, and phased to accomplish the mission, including potential branches and sequels

Appendix A: Synchronization Matrix

Displays synchronization of logistics whole community partners, providing resources or services to meet requirements. This expands on the synchronization matrix found in Annex A of the base plan.

4. ADMINISTRATION, RESOURCES, AND FUNDING

Capability Resources

Describe all of the resources needed to deliver each core capability where the base plan identifies objectives, goals and tasks for logistics. Includes impacted population requiring resources:

- a) Number of impacted survivors
- b) Number of impacted survivors requiring shelter (10% -25% of total affected population)
- c) Number of impacted survivors in shelters ages 0-4 (10% of sheltered population)
- d) Number of impacted survivors with functional needs requiring shelter (10% of sheltered population)
- e) Additional information as available such as ADA compliant needs, culture-specific meal or Low-Sodium requirements, etc.
- f) Number of directly impacted survivors not requiring shelter

Internal and External Resources

Describe what resources are from internal and external sources.

Shared Resources

- a) Describe what resources are shared between other Mission Areas?
- b) List resources required by the JFO and DRCs
- c) Describe what resources are shared between other core capabilities?

Adjudication of Resources

- a) How will the adjudication of resources during response operations be accomplished?
- b) How will the sharing of resources be adjudicated during response operations?

Financial

Identify surge funding for pre-staging resources and transportation

5. OVERSIGHT, COORDINATING INSTRUCTIONS, AND COMMUNICATIONS

National Level

- a) **Logistics Architecture:** Summarize the system being used for logistics management. Identify implementation of LSCMS for disaster response operations

- b) **Private Sector Coordination:** Identify expected private sector actions that will require coordination the Federal Government (Includes Outreach and NBEOC)
- c) **Non-Governmental Organizations (NGO):** Identify expected NGO actions that will require coordination with the Federal Government.
- d) **Incident Workforce Management Directorate (IWMD) Staffing:** Identify expected IWMD requirements and implementation
- e) **OFA Coordination:** Identify expected OFA actions and capabilities employment that will require coordination the Federal Government

Regional Level

- a) **Logistics Architecture:** Summarize the system being used for logistics management. Identify implementation of Logistics Supply Chain Management System(LSCMS) for disaster response operations
- b) **Private Sector Coordination:** Identify expected private sector actions that will require coordination the Federal Government (Includes Outreach and NBEOC)
- c) **Non-Governmental Organizations (NGOs/NVOADs/FBOs):** Identify expected NGO actions that will require coordination with the Federal Government.
- d) **IWMD Staffing:** Identify expected IWMD requirements and implementation needs
- e) **OFA Coordination:** Identify expected OFA actions and capabilities employment that will require coordination the Federal Government at the regional Level

State, Local, Tribal, Territorial

- a) Identify expected Bureau of Indian Affairs (BIA) or Indian Health Services (IHS) actions that will require coordination among the Federal Government (Includes Outreach)
- b) Identify expected private sector actions that will require coordination by the Federal Government (Includes Outreach and NBEOC)
- c) Non-Governmental Organizations (NGOs/NVOADs/FBOs): Identify expected NGO actions that will require coordination with the Federal Government.

Incident Level

- a) Identify Incident Action Support: Identify expected cross agency support actions that will require coordination by the Federal Government.

International Level

- a) Support: Identify expected IAS actions and Support that will require coordination by the Federal Government.

Coordinating Information

List the common instructions applicable to the entire department / interagency or two or more components within a department that are necessary for proper coordination of the operation. Coordinating instructions establish, in particular, the conditions for execution. Examples include the time or condition when a plan or an order becomes effective, priority intelligence requirements,

essential elements of friendly information, risk reduction control measures, use of force and force protection guidelines, environmental considerations. Terms pertaining to the timing of execution and deployments should be explained; as should other operational terms that appear in the plan but are not defined in department or agency publications. Identify departments and agencies, including interagency centers that have coordination responsibilities during the operation.

Critical Information Requirements

List the CIRs needed by the senior leader to support making critical decisions within the context of expected operations. The list should be limited to 10 or fewer to enhance comprehension. Key sources for CIRs include mission analysis and COA analysis.

Identify Critical Consideration

These include but are not limited to, classification, spectrum of operations, and legal considerations.

APPENDIX 1

Pre-Scripted Mission Assignments: Identify PSMA's that would be leveraged to become mission assignments when required. Use the Response Federal Interagency Operations Plan, Annex D: Logistics (Public and Private Services and Resources) and the PSMA Catalog.

- Table D, Tab 1.1: PSMA Level 1 (historic use 1998-2011, sorted by ESF)
- Table D, Tab 1.2: PSMA Level 2 (historic use 1998-2011, sorted by ESF)
- Table D, Tab 1.3: PSMA Level 3 (historic use 1998-2011, sorted by ESF)

APPENDIX 2: CRITICAL TRANSPORTATION:

Use the same guidance/processes from the Response FIOP to answer the questions below as above.

1. Situation

Transportation routes are inaccessible following the disaster, delaying the delivery of critical lifesaving and life-sustaining Response core capabilities.

Assumptions: General assumptions for the Response Federal Interagency Operational Plan (FIOP) have been identified in the base plan.

2. Mission

The Critical Transportation core capability provides transportation (including infrastructure access and accessible transportation services) for response priority objectives, including the evacuation of people and animals, and the delivery of vital response personnel, equipment, and services into the affected areas.

Critical Tasks

- Establish physical access through appropriate transportation corridors and deliver required resources to save lives and to meet the needs of disaster survivors.
- Ensure basic human needs are met, stabilize the incident, transition into recovery for an affected area, and restore basic services and community functionality.

Phase	Sub-Phase	Objectives (from base plan)
1	1a	<ul style="list-style-type: none"> • <i>Maintain backup generators for FAA assets in preparation for a potential large-scale power outage.</i>
2	2a	<ul style="list-style-type: none"> • <i>Deploy Mobile Communications Office Vehicle drivers to Distribution Centers (DCs) for deployment at Deputy Assistance Directors' direction, as described in the IAS process.</i> • <i>If required, USAID/OFDA would contact DOD to request use of an air base to receive donations from international donors through the International Assistance System process.</i> • <i>Provide goods and services to support evacuation efforts and transportation services.</i> • <i>Manage transportation of material from storage facilities and vendors to incident survivors, with emphasis on the surge and sustainment portions of response.</i> • <i>Initiate actions to deploy and deliver appropriate Strategic National Stockpile (SNS) initial push-packages to an Incident Support Base (ISB)/Staging Areas (SAs) or other designated reception location. Coordinate with NRCC and the Logistics Management Center (LMC).</i> • <i>Activate links to the private sector (e.g., secure Critical Emergency Operations Communications Link and request the inventory and identification of available transportation assets; potential mass shelter facilities; and medical facilities, personnel, equipment, and supplies).</i> • <i>Execute fuel and mobile maintenance contract support as needed.</i> • <i>FEMA Logistics Transportation will collaborate, determine, source, and implement support requirements. FEMA will provide access to storage facilities as needed. Commence transportation of Execution Schedule Assets. Continue to execute at a minimum of 2-hour intervals (all departments and agencies should refer to that schedule).</i> • <i>Notify the General Services Administration to be prepared to procure needed items as well as support transportation requests.</i>

Figure 45: Sample Annex D Logistics Objectives by Phase

Within the impacted area, Federal interagency partners will establish physical access through appropriate transportation corridors and deliver required resources to save and sustain lives and facilitate a seamless transition to recovery, in conjunction with whole community partners, as appropriate.

3. Execution

a) Concept of Operations (logistics specific)

Phase	Description of Logistics Actions
1	<ul style="list-style-type: none"> • <i>The U.S. Department of Homeland Security (DHS) will identify and catalog a national inventory of engineering resources (e.g., academia, retired engineers, professional associations such as the Society of American Military Engineers' Emergency Preparedness and Homeland Security Committee and the American Society of Civil Engineers) to develop a surge capacity for planning efforts and lower-level damage assessments. Federal Emergency Management Agency (FEMA) Logistics and Acquisitions personnel will explore the use of procuring transportation assets from non-impacted areas (e.g., recreational vehicles, regional commuter buses, school buses, vessels) to meet surge transportation needs. Identification and utilization of these resources will enable the</i>

Phase	Description of Logistics Actions
	<i>Federal interagency partners to expand its capacity to rapidly deploy personnel and resources to facilitate the delivery of the Critical Transportation core capability during response.</i>
2	<ul style="list-style-type: none"> The Federal Government alerts, deploys, and stages resources to support the assessment and reconstitution of the transportation infrastructure. During an incident, the Department of Transportation (DOT) and other Critical Transportation core capability support departments and agencies, structured through the National Response Framework and the National Incident Management System (NIMS), provide DHS with a single point to obtain key transportation-related information, planning, and emergency management, including prevention, preparedness, response, recovery, and mitigation capabilities at headquarters and at regional, and SLTT levels. Initial response activities include: <ul style="list-style-type: none"> Monitoring and reporting the status of and damage to the transportation system and infrastructure Identifying temporary alternative transportation solutions to be implemented by others when primary systems or routes are unavailable or overwhelmed Implementing appropriate air traffic and airspace management measures Coordinating the issuance of regulatory waivers and exemptions. Operations will be coordinated to restore and repair roadways, bridges, rails, ports, and national airspace system infrastructure. Additionally, support is provided for the transportation (including use of accessible vehicles) of evacuees back to the affected impacted area and for moving affected impacted populations, household pets, and service animals.
3	<ul style="list-style-type: none"> The Federal Government works to ensure that transportation-related infrastructure is operational to allow for the free ingress and egress of personnel, equipment, and services into the affected impacted area. The focus then shifts to providing longer-term coordination of the restoration and recovery of the affected impacted transportation systems and infrastructure.

Figure 46: Sample Annex D Logistics Tasks by Phase (From Base Plan)

b) Coordinating Structure:

Many emergency support functions (ESFs) support the Critical Transportation core capability. ESFs that perform tasks under this core capability are summarized. Specific tasks conducted by these ESFs are identified in the Tasks by Phase sections (listed by ESF) below.

c) Critical Transportation Tasks:

- FEMA is responsible for providing transportation assets and services (including contracts or other agreements for transportation assistance) for responders, equipment, and goods, consistent with the ESF #7—Logistics.
- Department of Defense (DOD) transportation support will be provided in accordance with existing DOD guidance, the MOUs between DOD and DOT concerning commercial aviation programs, and the memoranda of agreement between DOD and DOT concerning the National Defense Reserve Fleet and the Ready Reserve Force.
- DOT will coordinate with FEMA and DOD for air support. Within 6 hours of a disaster, FAA will develop and implement contingency air traffic and airspace management measures (e.g., temporary flight restrictions and specialized air traffic flow management for air transport and air mobility type missions) and the NRCC will have identified the prioritization and use of airfields to enable air support to the disaster. DOT will support local, state, tribal, territorial, and insular area officials’ efforts to conduct damage assessments to evaluate ground transport (e.g., roads, railways) conditions and restrictions (e.g., weight restrictions). The U.S. Army Corps of

Engineers’ Debris Planning and Response Teams, including contract support, removes and disposes of debris to provide clearance of roadways.

- DOT will provide guidance to SLTT officials on routing for evacuations. During mass evacuations, consistent with the Mass Evacuation Incident Annex, FEMA provides transport for persons, including individuals who require accessible transportation, provided the individuals meet the following criteria:
 - Evacuees can be accommodated at both embarkation points and at destination general population shelters.
 - Evacuees can travel on commercial long-haul buses, aircraft or passenger trains, or lift-equipped buses.
 - Evacuees do not have medical needs indicating the need for transportation by ESF

Core Capability	Description/Analysis
Public Health and Medical Services.	<ul style="list-style-type: none"> • Consistent with the Mass Evacuation Incident Annex and the Post-Katrina Emergency Management Reform Act, FEMA is responsible for evacuation of service and companion animals. • FEMA will support states by providing limited bus evacuations for ambulatory patients, possibly without medical oversight, between medical facilities and within limitations and capabilities of assets and drivers. • For incidents involving a blast or explosion associated with a chemical, biological, radiological, nuclear, and high-yield explosive (CBRNE) threat agent resulting in a contaminated debris field, ESF #3 leads Federal actions to clear critical transportation routes of CBRNE-contaminated debris, during the emergency phase, in consultation with ESF #10. ESF #10 assumes leadership for management of CBRNE-contaminated debris after the emergency phase is over. • ESFs that provide support to the delivery of the Critical Transportation core capability are included in the following section.

Figure 47: Sample Annex D Logistics Responsibilities by Core Capability

d) Mission Objectives:

- Coordinate the planning and operational analysis to deliver critical transportation requirements.
- Conduct assessments of the condition and safety of transportation pathways and plan accordingly.
- Prioritize the restoration of damaged/unusable pathways, identify alternate pathways, and coordinate rapid repairs to facilitate responder access and provide basic services.
- Assess resource requirements to support the reconstitution of the transportation infrastructure.
- Prioritize, adjudicate, and allocate resources to deliver critical transportation requirements.
- Support the evacuation of disaster survivors.
- Provide delivery of vital response personnel, equipment, and services into the impacted area.
- Respond to, coordinate, and prioritize the delivery of resources to disaster survivors and responders in the impacted area.

e) Tasks by Phase

Phase 1a	
End State: Plans have been reviewed, updated, and exercised and coordination has occurred between local, state, tribal, territorial, insular area, and Federal governments and voluntary and private-sector representatives.	
ESF	Tasks
1	<ul style="list-style-type: none"> Develop a plan to coordinate transportation support functions to provide transportation infrastructure information among NGO participants. Review, update, and exercise the following: - Existing response plans and SOPs to incorporate best practices and lessons learned; Key personnel rosters with accurate contact information (e.g., Federal Coordinating Officer [FCO], NRCC, RRCC, JFO, and special teams); and Develop and review pre-scripted mission assignments, MOUs, and IAAs. Conduct detailed gap analysis of transportation infrastructure with SLTT partners to ascertain expected Federal support resources.
2	<ul style="list-style-type: none"> Maintain effective communications by updating point-of-contact lists, verifying video teleconference and telecommunications capabilities, and testing information systems.
5	<ul style="list-style-type: none"> Pre-designate key Federal officials and identify response organizational structures in anticipation of an incident (e.g., FCO and the locations of JFOs).
7	<ul style="list-style-type: none"> Maintain backup generators for FAA assets in preparation for a potential large-scale power outage.

Figure 48: Sample Annex D Phase 1a End State and Tasks

Phase 1b	
End state: Evacuation planning has been coordinated with public- and private-sector transportation system owners and operators.	

Figure 49: Sample Annex D Phase 1a End State and Tasks

Phase 1c	
End state: Pre-incident coordination with public and private stakeholders has led to the pre-7675 identification of resources necessary for the reconstitution of transportation infrastructure.	

Figure 50: Sample Annex D Phase 1c End State

Phase 2a	
End state: Information regarding the operational environment has been analyzed to gauge preliminary planning and response needs.	
ESF	Tasks
1	<ul style="list-style-type: none"> Initiate reporting to the Office of the Secretary of Transportation, National Operations Center (NOC) Watch, National Infrastructure Coordinating Center, NRCC, Transportation Security Operations Center, DOT operating administrations and regional offices, and the Regional Emergency Transportation Coordinator (RETCO) and Regional Emergency Transportation Representatives (RETREP). Activate the DOT Emergency Response Team. Staff ESF #1 at the NRCC. Dispatch staff to the NRCC, RRCC(s), JFO(s), and Evacuation Liaison Team. Activate the RETCOs and RETREPs. Inform and invite participation by ESF #1 support departments and agencies. Identify temporary alternative transportation solutions that can be implemented by others when systems or infrastructure are damaged, unavailable, or overwhelmed. Work with transportation system owners and operators to coordinate the pre-positioning of resources to complete the restoration of transportation infrastructure following a disaster. Coordinate with ESF #5, ESF #6, ESF #8; SLTT governments; the private sector; and voluntary organizations to identify and deploy capabilities to transport identified populations. Determine the time available to conduct operations and the distance to (and availability of) shelters. The Evacuation Liaison Team is activated to support coordination with SLTT governments and nonprofit and private-sector participants.

ESF	Tasks
	<ul style="list-style-type: none"> • Provide transportation coordination and analysis for evacuation operations and evacuation route conditions. • Coordinate with DHS to initiate emergency permit and waiver requests to facilitate evacuation, including: - Temporary relief from specific safety regulations to allow direct response or relief transportation services to continue to a declared disaster or emergency from the Federal Motor Carrier Safety Administration; • Truck size and weight limit permits from state DOTs; • Jones Act waivers from DHS; and • Fuel quality waivers from the Environmental Protection Agency. • Activate specialized aviation support units through the U.S. Department of Commerce/National Oceanic and Atmospheric Administration/Office of Marine and Aviation Operations. • Coordinate air operations requirements with ESF #1, ESF #5, and ESF #13. • Identify evacuation shortfalls and outstanding transportation needs. • Monitor and report the status of, and damage to, the transportation system and infrastructure as a result of the incident. • Maintain coordination with ESF #1/DOT/FAA to enable air operations through air navigation services measures, including air traffic control, flow management, and airspace measures. • Coordinate the availability of privately owned transportation. • Coordinate with Federal departments and agencies to determine evacuation support requirements. • Inventory and make available cargo and passenger aviation assets and report availability to the Movement Coordination Center (MCC) in the NRCC. • Deploy Federal Air Marshals Transportation Security Advanced Team through DHS/Transportation Security Administration (TSA) to affected impacted airports. • Coordinate with the U.S. Coast Guard (USCG) and SLTT departments and agencies to manage maritime traffic and provide maritime port and infrastructure awareness and analysis. • If the International Assistance System were to be activated, the U.S. Agency for International Development (USAID)/Office of Foreign Disaster Assistance (OFDA) will begin to identify commercial assets in the region to help with receiving international donations and transport as directed. • Review all necessary cargo and passenger aviation activities, inventory and make available cargo and passenger aviation assets, and report availability to the MCC in the NRCC. • Provide an assessment of the transportation and infrastructure systems to the NOC and NRCC. • Notify, activate, and/or deploy pre-positioned equipment teams. • Provide an update on the status of transportation systems and provide emergency transportation management recommendations to DHS. Continue updates as necessary. • Request Deployable Distribution Expeditionary Depot availability through DOD, if necessary.
3	<ul style="list-style-type: none"> • Provide public works and engineering-related support to activities relating to the debris clearance of evacuation routes. • Staff ESF #3 at the NRCC.
5	<ul style="list-style-type: none"> • Provide situational awareness and coordination of mass evacuation efforts. • Develop requirements for manifesting evacuees. • Support Federal evacuation support actions, as requested.
6	<ul style="list-style-type: none"> • Identify population shelters as close to the embarkation points as safely possible. • Determine the distance and number of household pets and service animals that will be evacuated. • Provide information and coordination of non-medical mass care support for mass evacuations, including providing emergency housing and human services and child reunification with an appropriate adult. • Coordinate planning and execution of evacuations across navigable waters of the United States with USCG. • Initiate capabilities to support the tracking of evacuee movement and reunification services through FEMA in coordination with the private sector and NGOs (where appropriate). • Identify numbers of evacuees, including individuals with disabilities and others with access and functional needs, and determine the distance to and availability of shelters.

ESF	Tasks
	<ul style="list-style-type: none"> • Provide information and coordinate the non-medical mass care aspects required for mass evacuations, including housing and human services. • Coordinate with FEMA Regions to assist/support state emergency evacuation (as requested by the state).
7	<ul style="list-style-type: none"> • Deploy Mobile Communications Office Vehicle drivers to Distribution Centers (DCs) for deployment at Deputy Assistance Directors' direction, as described in the IAS process. • If required, USAID/OFDA would contact DOD to request use of an air base to receive donations from international donors through the International Assistance System process. • Provide goods and services to support evacuation efforts and transportation services. • Manage transportation of material from storage facilities and vendors to incident survivors, with emphasis on the surge and sustainment portions of response. • Initiate actions to deploy and deliver appropriate Strategic National Stockpile (SNS) initial push-packages to an Incident Support Base (ISB)/Staging Areas (SAs) or other designated reception location. Coordinate with NRCC and the Logistics Management Center (LMC). • Activate links to the private sector (e.g., secure Critical Emergency Operations Communications Link and request the inventory and identification of available transportation assets; potential mass shelter facilities; and medical facilities, personnel, equipment, and supplies). • Execute fuel and mobile maintenance contract support as needed. • FEMA Logistics Transportation will collaborate, determine, source, and implement support requirements. FEMA will provide access to storage facilities as needed. Commence transportation of Execution Schedule Assets. Continue to execute at a minimum of 2-hour intervals (all departments and agencies should refer to that schedule). • Notify the General Services Administration to be prepared to procure needed items as well as support transportation requests.
8	<ul style="list-style-type: none"> • Coordinate available Federal, private-sector, and voluntary organization resources to support feeding and sheltering along evacuation routes. • Coordinate medical staging and medical evacuation of patients. • Provides supplemental assistance in identifying the public health and medical needs of evacuees, including patient evacuation and child reunification with an appropriate adult. • Mobilize resources for immediate pickup at the designated air/ground departure point. Initiate actions to deploy and deliver appropriate SNS initial push-packages to an ISB/SA or other designated reception location. Coordinate with NRCC and LMC. • Deploy requested National Disaster Medical System (NDMS) Disaster Medical Assistance Team caches using secure transportation. FEMA and other ESF #8 partners provide access to storage facilities as needed.
11	<ul style="list-style-type: none"> • Provide planning assistance to the states for the evacuation of household pets, when mission assigned.
13	<ul style="list-style-type: none"> • Secure the perimeter of the impacted area, including secondary and tertiary roads. • Coordinate with SLTT law enforcement as well as ESF #13 to ensure the security of transportation assets used for evacuation. • Provide support of SLTT public safety and security measures (e.g., crowd control, traffic direction, and control of contraflow lanes used in evacuations).
15	<ul style="list-style-type: none"> • Provide public messaging to notify the affected impacted population of evacuation routes and other emergency information through FEMA External Affairs. • Support responders and SLTT government officials in providing accurate, coordinated, and timely public information to impacted affected audiences.

Figure 51: Sample Annex D Phase 2a End State and Tasks

Phase 2b	
<p>End state: Activation and deployment of transportation assessment teams has yielded information necessary for operational coordination. Priorities for the coordination and restoration of critical infrastructure have been established, and Federal resources in support of critical transportation efforts have been prioritized and deployed to the impacted affected area.</p>	
ESF	Tasks
1	<ul style="list-style-type: none"> • Coordinate with SLTT departments of transportation on operations to restore and repair roadways, bridges, rails, ports, and national airspace system infrastructure. • Provide resources and coordinate support to local, state, tribal, territorial, and insular area evacuations of the impacted affected population. • Support SLTT governments in evaluating evacuee reception capabilities throughout the impacted area and surrounding region. • Support SLTT governments in coordinating transportation assets, including accessible transportation at reception sites to transport evacuees to appropriate shelters. • Enable air operations through air navigation services measures, including air traffic control, flow management, and airspace measures. Coordinate air operations requirements with ESF #1, ESF #5, and ESF #13. • Develop requirements for manifesting evacuees. • Coordinate with the energy industry to ensure fuel is available to responders and individuals along the evacuation route. Private-sector fuel distributors identify specific retail outlets to remain open and dispense fuels to emergency responders and/or evacuees. • Coordinate with SLTT. • Identify shortfalls and use additional capabilities to transport identified populations, support required pet evacuation capabilities, and provide reception capabilities throughout the impacted area and surrounding region while maintaining tracking of evacuees. • Coordinate evacuation routes with SLTT departments and agencies, private-sector, and voluntary organizations. • Coordinate the impact of outflow of evacuating persons and the transportation requirements for the entry of response teams and supplies into the impacted affected area. • Provide emergency transportation management recommendations to DHS, based on the status of the transportation system.
3	<ul style="list-style-type: none"> • Conduct restoration of navigation pathways, including air, surface, and waterways. • Coordinate with SLTT governments to support debris-removal operations that align with transportation priorities. • Determine that the impacted affected area is safe for individuals to return and that the infrastructure can sustain a return of the population. • Provide technical assistance to support the rapid recovery and reconstitution of critical waterways, channels, and ports (including vessel removal, significant marine debris removal, emergency dredging, and hydrographic surveys).
4	<ul style="list-style-type: none"> • Provide engineering and contracting and procurement personnel and equipment to assist in emergency removal of debris, demolition, and repair to roads and bridges. • Provide resources (personnel and equipment) necessary to clear fallen trees, brush, and debris from state, county, and city roads to facilitate emergency access in the disaster area.
5	<ul style="list-style-type: none"> • Activate ESF #1 at the national and regional levels to provide coordination and technical assistance. • Provide reports on the status of evacuation, repopulation, and transportation to support shared situational awareness and the common operating picture. Coordinate with SLTT entities and private-sector and voluntary organization transportation service providers to ensure that vehicles and vehicle operators are available and are dispatched to pick up points. • Provide support to coordinate the evacuation of household pets.
6	<ul style="list-style-type: none"> • Initiate capabilities to support tracking of evacuee movement and providing mass care, access and functional needs support, support to household pets and service animals, and reunification services.

ESF	Tasks
	<ul style="list-style-type: none"> Identify, request, and acquire transportation resources for the delivery of life-sustaining supplies and services to the impacted affected area. Collect, analyze, and disseminate ESF #6 service delivery site assessments of transportation infrastructure damage. Provide critical transportation for survivors including individuals with disabilities and others with access and functional needs. Initiate outreach to vendors, NGOs, and national voluntary organizations active in disasters to acquire additional support vehicles for mobile feeding activities. Coordinate available Federal resources to support feeding and sheltering along the evacuation routes.
8	<ul style="list-style-type: none"> Coordinate medical staging and medical evacuation to patients. Identify medical evacuation shortfalls through the NDMS. FEMA's National Ambulance Contract provides ground transportation, including accessible transportation for people with mobility disabilities, and DOD, if mission assigned, may register patients and provide air transportation outside of the impacted areas.
10	<ul style="list-style-type: none"> Support the identification of safe evacuation and ingress routes and assess the nature and extent of contamination, if transportation infrastructure or routes are contaminated by oil or hazardous materials.
11	<ul style="list-style-type: none"> Conduct surveys and evaluations for archaeological resources, historic structures, cultural landscapes, biological resources, wetlands, and critical habitats. Recommend mitigation activities for both natural and cultural resources to reduce the impacts of repairs, road surveys, and construction. Ensure meat, poultry, and processed egg products in commerce are safe.
13	<ul style="list-style-type: none"> Support the security of transportation assets used for evacuation.
15	<ul style="list-style-type: none"> Provide public messaging to notify the impacted affected population of evacuation routes and other emergency information.

Figure 52: Sample Annex D Phase 2b End State and Tasks

Phase 2c	
<p>End State: Infrastructure assessments have been performed, and stabilization of critical transportation infrastructure has been completed. Survivor evacuation is complete, and vital resources and services have been delivered to disaster survivors and responders within the impacted area.</p>	
ESF	Tasks
1	<ul style="list-style-type: none"> Identify shortfalls and reposition or demobilize resources from areas where objectives have been achieved.
3	<ul style="list-style-type: none"> Coordinate with SLTT governments to support debris removal operations that align with transportation priorities.
6	<ul style="list-style-type: none"> Develop a strategy for allowing the population to return to the impacted affected area without disrupting response operations or putting strain on local resources (e.g., feeding, sheltering, power distribution, roads, fuel, and security). - Determine that the impacted affected area is safe for individuals to return and that the infrastructure can sustain a return of the population. Coordinate the transportation of evacuees back to the impacted affected area and provide vehicles, including accessible vehicles. Determine housing options, including return to impacted affected areas, for evacuees temporarily displaced to locations away from the home of record.
8	<ul style="list-style-type: none"> Develop a strategy for medical patient repatriation as healthcare facilities in the impacted affected area return to service.
10	<ul style="list-style-type: none"> Clean-up and/or decontaminate transportation infrastructure and routes as appropriate if they are contaminated by oil or hazardous materials. Assume leadership from ESF #3 for management of CBRN-contaminated debris.

Figure 53: Sample Annex D Phase 2c End State and Tasks

4. Administration and Support

The Critical Transportation core capability will follow standard protocols for activation, notification, deployment, and deactivation with each Federal department and agency continuing to maintain its roles and responsibilities under Federal laws and regulations.

APPENDIX E: AUTHORITIES AND FOUNDATIONAL DOCUMENTS

A NUMBER OF FOUNDATIONAL DOCUMENTS PROVIDE STATUTORY, REGULATORY, AND EXECUTIVE GUIDANCE FOR FEMA DISASTER RESPONSE. SOME KEY FOUNDATIONAL DOCUMENTS ARE AS FOLLOWS:

Robert T. Stafford Disaster Relief and Emergency Assistance Act (Public Law 100-707, as amended, 42 U.S.C. §§ 5121-5207).

The Stafford Act of 1988, which amended the Disaster Relief Act of 1974 (Public Law 93-288) authorizes the programs and processes by which the Federal government provides disaster and emergency assistance to State and local governments, tribal nations, eligible private nonprofit organizations, and individuals affected by a declared major disaster or emergency. The Stafford Act covers all hazards, including natural disasters and terrorist incidents.

Title 44 of the Code of Federal Regulations, Emergency Management and Assistance, 2011.

The Code of Federal Regulation is a codification of the general and permanent rules and regulations published in the Federal Register that contain basic policies and procedures. Title 44 covers Emergency Management and Assistance, and Chapter 1 of Title 44 contains the regulations issued by FEMA, including those related to implementing the Stafford Act.

Homeland Security Act (Public Law 107-296, as amended, 6 U.S.C. §§ 101 et seq.).

The Homeland Security Act of 2002 created DHS as an executive department of the United States. The Homeland Security Act consolidated component agencies, including FEMA, into the Department. The Secretary of Homeland Security is the head of the Department and has direction, authority, and control over it. All functions of all officers, employees, and organizational units of the Department are vested in the Secretary. The mission of the Department includes preventing terrorist attacks within the United States, reducing America’s vulnerability to terrorism, and minimizing the damage and recovering from attacks that occur. The Post-Katrina Emergency Management Reform Act of 2006 (see below) amended the Homeland Security Act with respect to the organizational structure, authorities, and responsibilities of FEMA and the FEMA Administrator.

Homeland Security Presidential Directive 5 (HSPD-5), 2003.

“Homeland Security Presidential Directive 5” enhances the ability of the United States to manage domestic incidents by directing the establishment of a single, comprehensive National Incident Management System (NIMS). This management system is designed to cover the prevention of, preparation for, response to, and recovery from terrorist attacks, major disasters, and other emergencies. The system allows all levels of government throughout the Nation to work together efficiently and effectively. The directive gives further detail on which government officials oversee

and have authority for various parts of the NIMS, and it makes several amendments to other Homeland Security Presidential Directives.

Post-Katrina Emergency Management Reform Act of 2006 (Public Law 109-295), October 4, 2006.

The Post-Katrina Emergency Management Reform Act (PKEMRA) clarified and modified the Homeland Security Act with respect to the organizational structure, authorities, and responsibilities of FEMA and the FEMA Administrator. This act enhanced FEMA's planning responsibilities and its autonomy within DHS. Under PKEMRA, FEMA is to lead and support the Nation in a risk-based, comprehensive emergency management system of preparedness, protection, mitigation, response, and recovery. Under the act, the FEMA Administrator reports directly to the Secretary of Homeland Security. FEMA is now a distinct entity within DHS, and the Secretary of Homeland Security can no longer substantially or significantly reduce the authorities, responsibilities, or functions of FEMA—or the capability to perform them—unless authorized by subsequent legislation. The act further directed the transfer to FEMA of many of the functions of DHS's former Preparedness Directorate.

National Response Framework (NRF) Second Edition, May 2013.

The “National Response Framework” is a guide to how the Nation responds to all types of disasters and emergencies. It is built on scalable, flexible, and adaptable concepts identified in the NIMS to align key roles and responsibilities across the Nation. This framework describes specific authorities and best practices for managing incidents that range from the serious but purely local, to large-scale terrorist attacks or catastrophic natural disasters.

National Incident Management System (NIMS), December 2008.

The NIMS is a set of principles that provides a systematic, proactive approach to guiding government agencies at all levels, NGOs, 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—to reduce the loss of life or property and harm to the environment.

National Disaster Recovery Framework (NDRF), September 2011.

The NDRF is a guide that enables effective recovery support to disaster-impacted States, tribes, territories, and local jurisdictions. It provides a flexible structure that enables disaster recovery managers to operate in a unified and collaborative manner. It also focuses on how best to restore, redevelop, and revitalize the health, social, economic, natural, and environmental fabric of the community and build a more resilient nation.

Presidential Policy Directive 8, “National Preparedness,” March 30, 2011.

This directive is aimed at strengthening the security and resilience of the United States through systematic preparation for the threats that pose the greatest risk to the security of the Nation, including acts of terrorism, cyber-attacks, pandemics, and catastrophic natural disasters. It shows how national preparedness is the shared responsibility of all levels of government, the private and

nonprofit sectors, and individual citizens. It directed the creation of the National Preparedness Goal and the National Preparedness System.

APPENDIX F: PLANNING NOTIFICATION OUTLINE

The planning notification initiates and announces the beginning of more in-depth planning efforts with the larger planning group. Below is an example outline of the information that should be included in a planning notification.

PLANNING NOTIFICATION _____

References: Other relevant plans (AHP, hazard-specific)

Time Zone Used: Time Zone of Responsible Region

Incident Task Organization: (Primary Region)

1. Situation
 - a. Threat
 - b. State/Tribal/Local Considerations
 - c. Federal Considerations
 - d. International Considerations
 - e. Assumptions
2. Mission
3. Execution
 - a. Senior Leader's Intent
 - b. Concept of Operations
 - c. Tasks to FEMA Department Directorates and OFAs
 - d. Coordinating Instructions. Include any information available at the time of the issuance of the Planning Notification. It may include the following:
 - CIRs
 - Risk guidance
 - Public Affairs guidance
 - Specific priorities, in order of completion
 - Time line
 - Guidance on orders and rehearsals
 - Group meeting (attendees, location, and time)
 - Earliest movement time and degree of notice
4. Administration and Resources
 - a. Administration
 - b. Resources
 - c. References
5. Incident Communications, Coordination, and Oversight
 - a. Communications
 - b. Coordination
 - c. Oversight

APPENDIX G: PLAN RUBRIC

Developing and using a planning rubric (Table 9) will help the planning team gauge the effectiveness of its planning process, and refine its capabilities during and after planning.

Table 9: Operational Plan Self-Assessment Rubric

	Process (1 point for each bullet)	Partners (1 point for each bullet)	Deliverables (1 point for each bullet)
STEP 1: Form a Collaborative Planning Team	<ul style="list-style-type: none"> Includes all relevant information providers and operational entities who will use or will execute the plan Matches the planning problem and defined scope to appropriate roster for team 	<ul style="list-style-type: none"> All contributing and impacted entities recognize their planning role Partners continually engage throughout the process 	<ul style="list-style-type: none"> Planning problem is clearly defined Scope, work plan, and intent for the plan directly correspond to the planning team roster
STEP 2: Understand the Situation	<ul style="list-style-type: none"> Research illuminates and expands the parameters of the planning problem, physical effects, and operational impacts Analysis defines risks and vulnerabilities, and further refines problems 	<ul style="list-style-type: none"> Planning team is successfully rostered to provide research and analytic support Planning team brings its program resources to bear on research and analysis 	<ul style="list-style-type: none"> IAB includes sufficient information that every subsequent planning decision is informed by an understanding of associated risks and returns Approved IAB includes research and analysis by core capability
STEP 3: Determine Goals and Objectives	<ul style="list-style-type: none"> Operational phases define beginning and end states for each phase Objectives respond to research and analysis of operational impacts 	<ul style="list-style-type: none"> Partners discern their operational responsibilities for each phase across multiple core capabilities Objectives for each relevant core capability are defined for each phase 	<ul style="list-style-type: none"> IAB includes a mission statement which relates research and analysis to the operational objectives IAB frames the ensuing development of a concept of operations
STEP 4: Plan Development	<ul style="list-style-type: none"> Framing of options/COAs directly corresponds to objectives by core capability and phase Options are developed for the overall CONOPS, and for each core capability 	<ul style="list-style-type: none"> Working group understands the value of developing multiple options COAs are written to explain how operational entities and operational approach will meet defined objectives 	<ul style="list-style-type: none"> COAs are evaluated in a consistent, measurable manner Selected COAs are ready to be inserted into final planning document
STEP 5: Plan Preparation, Review and Approval	<ul style="list-style-type: none"> Plan follows standard operational planning format defined in this manual, includes all of the required planning sections, maintains the common FEMA plan structure, and includes with plan-specific information as required Products developed during planning process form the content of the plan 	<ul style="list-style-type: none"> SLSC signs and promulgates finished plan according to the distribution outlined in Annex Z Partners receive and retain copies of the plan 	<ul style="list-style-type: none"> Approved, written plan is in a format ready to be executed, exercised, and evaluated by program offices and operational elements Completed plan is available for immediate download, reference and use
STEP 6: Plan Implementation and Maintenance	<ul style="list-style-type: none"> Plans validated by exercises and after action reports Plans are developed with operational elements in mind; operational elements, in turn, resort immediately to deliberate plans as the basis for crisis action plans following an incident 	<ul style="list-style-type: none"> Program offices, exercise personnel, and operational elements maintain awareness of the plan Planning team commits to the principle that plans drive exercises and operations, and participate in periodic review and revision 	<ul style="list-style-type: none"> Formal transition of responsibility for the plan to exercise and operations elements Revision/maintenance plan in place
RUBRIC SCORES	[Sum of column scores (maximum: 12)]	[Sum of column scores (maximum: 12)]	[Sum of column scores (maximum: 12)]
	TOTAL SCORE OUT OF 36:	[Add all 3 scores]	

APPENDIX H: SAMPLE CORE CAPABILITY OBJECTIVES

Table 10: Sample Core Capability Objectives

Core Capability	Sample Objective
Critical Transportation	<ul style="list-style-type: none"> • In coordination with SLTT governments, quickly and safely evacuate up to 600,000 general population evacuees and accompanying pets. • In coordination with the State(s) and tribal governments, deliver prioritized air, ground, and maritime capabilities to move Federal resources to deliver vital response personnel, equipment and other resources into the affected area to support survivors. • In coordination with the State(s) and tribal governments, deliver prioritized critical aviation transportation capabilities to restore up to 10 major airports impacted by the incident.
Infrastructure Systems	<ul style="list-style-type: none"> • Support SLTT governments to clear debris from critical roadways and up to 50% of all roadways in the three most impacted states • Within 72 hours: Decrease and stabilize immediate infrastructure threats to the affected population, including survivors in the heavily-damaged area(s), nearby communities that may be affected by cascading effects, and mass care support facilities with a focus on life-sustainment and congregate care services. • Within 60 days: Re-establish critical infrastructure within the affected areas to support ongoing emergency response operations, life sustainment, community functionality, and a transition to recovery.
Mass Care Services	<ul style="list-style-type: none"> • Provide life-sustaining services to the affected population with a focus on hydration, food, and shelter for those who have the most need, as well as support for reunifying up to 600,000 displaced people. • Within 72 hours: Move and deliver resources and capabilities to meet the needs of disaster survivors, including individuals with access and functional needs and others who may be considered to be at risk. • Within 96 hours: Establish, staff, and equip emergency shelters and other temporary housing options (including accessible housing) for the affected population. • Within 30 days: Move from congregate care to non-congregate care alternatives and provide relocation assistance or interim housing solutions for families unable to return to their homes.
Mass Search and Rescue Operations	<ul style="list-style-type: none"> • Deliver traditional and atypical search and rescue capabilities, including personnel, services, animals, and assets to survivors in need, with the goal of saving the greatest number of endangered lives in the shortest time possible (within the first 72 hours). • Within 24 hours: Initiate search and rescue operations to locate and rescue persons in distress, based on the requirements of State, tribal, and local authorities. • Within 72 hours: Establish community-based search and rescue support operations across a wide, geographically dispersed area. • Within 96 hours: Ensure the synchronized deployment of local, regional, and national teams to reinforce ongoing search and rescue efforts and transition to recovery.
On-Scene Security and Protection	<ul style="list-style-type: none"> • Ensure a safe and secure environment through law enforcement and related security and protection operations for people and communities located within affected areas, and also for all traditional and atypical response personnel engaged in lifesaving and life-sustaining operations.

Core Capability	Sample Objective
	<ul style="list-style-type: none"> • Within 72 hours: Establish a safe and secure environment in an affected area for all responders and disaster survivors. • Within 7 days: Provide and maintain on-scene security and meet the protection needs of the affected population over a geographically dispersed area while eliminating or mitigating the risk of further damage to persons, property, and the environment.
Operational Communications	<ul style="list-style-type: none"> • Ensure the capacity for timely communications in support of situational awareness, operations, and security by all means available, among affected communities in the impact area and all responders. • Within 48 hours: Ensure the ability to communicate with both the emergency response community and the affected populations and establish interoperable voice and data communications among Federal, State, tribal, and local first responders. • Within 30 days: Reestablish sufficient communications infrastructure within the affected areas to support ongoing life-sustaining activities, provide basic human needs, and transition to recovery.
Operational Coordination	<ul style="list-style-type: none"> • Establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of core capabilities. • Within 72 hours: Mobilize all critical resources and establish command, control, and coordination structures within the affected States, communities, and/or tribal lands within Region and maintain as needed throughout the duration of an incident. • Within 60 days: Enhance and maintain National Incident Management System (NIMS)-compliant command, control, and coordination structures/facilities to meet basic human needs, stabilize the incident, and transition to recovery.
Planning	<ul style="list-style-type: none"> • Systematically engage the whole community as appropriate in the development of executable strategic, operational, incident, and/or community-based approaches to meet defined objectives. • Within 24 hours: Develop incident action plans with State/tribal partners based on UCG objectives that support response operations. • Within 14 days: Draft an incident strategic plan from response and recovery through closeout.
Public and Private Services and Resources	<ul style="list-style-type: none"> • Provide essential public and private services and resources to the affected population and surrounding communities, to include emergency power to critical facilities, fuel support for emergency responders, and access to essential services (such as grocery stores, banks, etc.) as well as first responder services (such as police, fire, EMS.) • Within 72 hours: Mobilize and deliver governmental, nongovernmental, and private-sector resources within and outside of the affected area to save lives, sustain lives, meet basic human needs, stabilize the incident, and transition to recovery, to include moving and delivering resources and services to meet the needs of disaster survivors. • Within 30 days: Enhance public and private resource and services support for an affected area.
Public Health and Medical Services	<ul style="list-style-type: none"> • Provide lifesaving medical treatment via emergency medical services and related operations and avoid additional disease and injury by providing targeted public health and medical support and products to all people in need within the affected area(s). • Within 24 hours: Deliver medical countermeasures to exposed populations. • Within 48 hours: Provide support to State/local hospitals/medical facilities and medical officials to meet the medical needs of the local population. • Within 48 hours: Provide medical surge resources/support.

Core Capability	Sample Objective
	<ul style="list-style-type: none"> • Within 72 hours: Complete triage and initial stabilization of casualties and begin definitive care for those likely to survive their injuries.
Public Information and Warning	<ul style="list-style-type: none"> • Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively relay information regarding any threat or hazard and, as appropriate, the actions being taken and the assistance being made available. • Within 24 hours: Inform the affected population of FEMA Region by all means necessary, including accessible tools, regarding critical lifesaving and life-sustaining information to expedite the delivery of emergency services and aid the public to take protective actions. • Within 60 days: Deliver credible messages to inform ongoing emergency services and the public about protective measures and other life-sustaining actions, and facilitate the transition to recovery.
Situational Assessment	<ul style="list-style-type: none"> • Provide all decision makers with decision-relevant information regarding the nature and extent of the hazard, any cascading effects, and the status of response operations. • Within 24 hours: Deliver information and analysis sufficient to inform decision making regarding immediate lifesaving and life-sustaining activities, and engage governmental, private-, and civic-sector resources within and outside of the affected area to meet basic human needs and stabilize the incident. • Within 96 hours: Deliver enhanced information and analysis to reinforce ongoing lifesaving and life-sustaining activities, and engage governmental, private, and civic sector resources within and outside of the affected area to meet basic human needs, stabilize the incident, and transition to recovery.

APPENDIX I PLANNING INTEGRATION

KEY ASSUMPTIONS

The following are key assumptions and principles which integrated planning should support:

- Planning across the Prevention, Protection, Mitigation, Response, and Recovery mission frameworks outlines operational responsibilities and processes at the national, regional, State, and local levels, including private and non-government sectors
- Planning within any one of the five mission frameworks influences all others and therefore, must be cognizant of impacts from decision making and provide opportunities to incorporate planning considerations and requirements from other missions
- The knowledge, tools, and skill sets developed within any one of the five mission frameworks may benefit and improve upon the planning performed in other mission areas
- A consistent planning process (e.g., form a team, analyze hazards and capabilities, consider alternative courses of action) and format can be applied across the five mission areas as long as they are flexible to address their respective characteristics and requirements

PROPOSED END STATE

The following indicators may be used to help determine whether planning across FEMA organizations is “integrated”:

- Across all FEMA Planning Programs:
 - Oversight, monitoring, and reporting on all FEMA planning efforts and identifying areas for improved collaboration
 - A single doctrine is developed and employed for all FEMA planning, including a consistent, yet flexible plan methodology and standardized format
 - The application of Comprehensive Preparedness Guides and other guidance related to the National Preparedness System is well understood and implemented
 - Common Threat Hazard Identification and Risk Analysis (THIRA) processes and products are employed to inform planning
 - Collaborative planning teams are comprised of representatives from each of the functional areas, contributing their respective skill sets as appropriate

Specific supporting roles by FEMA organizations are performed for planning in each mission area as depicted on the following page in

Contributions from HQ and Regional components	Mitigation Framework Planning	Response Framework Planning	Recovery Framework Planning
Federal Insurance and Mitigation Administration	Lead Planner	Step 2, 5: <ul style="list-style-type: none"> Risk assessment capability and data Ensure role to identify mitigation opportunities and the use of vulnerability data during events. Conveys requirements to enable MT phase 	Step 2, 5: <ul style="list-style-type: none"> Risk assessment capability and data Ensure role to identify mitigation opportunities and the use of vulnerability data during events. Conveys requirements to enable MT phase
Response, Planning	Step 2 <ul style="list-style-type: none"> Conveys planning SME 	Lead Planner	Step 2,3,4,5 <ul style="list-style-type: none"> Conveys planning SME and reach-back capability
Response, Operations	Step 2 <ul style="list-style-type: none"> SME on response requirements SME on where response efficiencies may be attained through mitigation efforts 	Step 1,2,3,4,5,6: SME for all Response core capabilities <ul style="list-style-type: none"> Transportation, SAR, C2, and team support plans and procedures 	Step 2,3,4,5 <ul style="list-style-type: none"> Coordinate with s SME regarding response requirements
Response, DEC		Step 1,2,3,4,5,6 <ul style="list-style-type: none"> Lead on communications content 	Step 1,2,3,4,5,6 <ul style="list-style-type: none"> Lead on communications content
Logistics	Step 2 <ul style="list-style-type: none"> SME on how State, local, and private-sector transportation resilience initiatives may yield efficiencies for logistics operations 	Step 1,2,3,4,5,6 <ul style="list-style-type: none"> Public and Private Services and Resources plans and processes for core capability and cross-cutting interdependencies. Logistics planner to be part of core or collaborative planning team. Implementation of the Distribution Management Strategic Working Group (DMSWG, used during Phase 1a) and Resource Management Group (RMG, used during Phase 2b) for sourcing Planned implementation of the Defense Production Act (as required) Regions may coordinate with States in using LCAT findings for information and analysis LPRATs used for plan development and information analysis 	Step 1,2,3,4,5,6 <ul style="list-style-type: none"> Public and Private Services and Resources plans and processes for core capability and cross-cutting interdependencies. Logistics planner to be part of core or collaborative planning team. Implementation of the Distribution Management Strategic Working Group (DMSWG, used during Phase 1a) and Resource Management Group (RMG, used during Phase 2b) for sourcing Planned implementation of the Defense Production Act (as required) Regions may coordinate with States in using LCAT findings for information and analysis LPRATs used for plan development and information analysis
Recovery	Step 2,3,4,5,6 <ul style="list-style-type: none"> SME on redevelopment and applicable assistance SME on where recovery efficiencies may be attained through mitigation efforts 	Step 1,2,3,4,5,6 <ul style="list-style-type: none"> Mass Care Services plans and procedures Public and Private Services and Resources; Stabilize and Repair Essential Infrastructure SME 	Lead planner
External Affairs	Step 1,2,3,4,5 <ul style="list-style-type: none"> Public Information and Warning plans and procedures Expertise for public affairs, private sector, intergovernmental, and tribal issues 	Step 1,2,3,4,5 <ul style="list-style-type: none"> Public Information and Warning plans and procedures Expertise for public affairs, private sector, intergovernmental, and tribal issues 	Step 1,2,3,4,5 <ul style="list-style-type: none"> Public Information and Warning plans and procedures Expertise for public affairs, private sector, intergovernmental, and tribal issues
Policy and Program Analysis	Step 2,5: Expertise for all international coordination and Defense Production Act issues.	Step 2,5: Expertise for all international coordination and Defense Production Act issues.	Step 2,5: Expertise for all international coordination and Defense Production Act issues.

Contributions from HQ and Regional components	Mitigation Framework Planning	Response Framework Planning	Recovery Framework Planning
PNP / NPD	Step 2 Expertise for THIRA, NPG and CPG interpretation, NIMS and NRF support, and discipline-specific guidance (e.g., fusion)	Step 2 Expertise for THIRA, NPG and CPG interpretation, NIMS and NRF support, and discipline-specific guidance (e.g., fusion)	Step 2 Expertise for THIRA, NPG and CPG interpretation, NIMS and NRF support, and discipline-specific guidance (e.g., fusion)
Law Enforcement Advisor		Step 2, 5: Expertise for all public safety and security issues	Step 2, 5: Expertise for all public safety and security issues
Disability Integration and Coordination	Step 2, 5: Expertise for all functional needs, children, and similar issues	Step 2, 5: Expertise for all functional needs, children, and similar issues	Step 2, 5: Expertise for all functional needs, children, and similar issues

Planning Step Legend: <ol style="list-style-type: none"> 1. Form the Planning Team 2. Understand the Situation (Research) 3. Determine Goals and Objectives (Information and Analysis Brief) 4. Develop the Plan (Course of Action Brief) 5. Plan Preparation, Review and Approval (Plan) 6. Plan Refinement and Execution (Implementation and Maintenance)

Figure 54: Mission Area Plan Alignment.

APPENDIX J: PLANNER'S TOOLKIT

The FEMA Response Planning Division maintains tools and templates that support plan development, including the following:

STEP 1: Form a Collaborative Planning Team

- Sample planning team appointment letter
- Sample initial planning team meeting presentation (new plan)
- Sample initial planning team meeting presentation (periodic update)

STEP 2: Scope the Plan

- Senior leader intent samples
- Work plan samples

STEP 3: Understand the Situation

- Research and analysis samples
- Threat/planning scenario samples

STEP 4: Goals and Objectives

- Mission statement samples
- End state samples
- Objectives samples
- Information analysis briefing (new plan)
- Information analysis briefing (periodic update)

STEP 5: Plan Development

- COA development samples
- COA decision briefing

STEP 6: Plan Preparation Review and Approval

- Plan format samples
- Plan review letter samples
- Plan comment spreadsheet samples
- Plan adjudication spreadsheet samples
- Plan Approval and Dissemination letter samples

APPENDIX K: CORE CAPABILITY FACT SHEETS

Plans often represent the results of core capability analysis in the context of the geographic or political boundaries associated with the scenario and plan. Representing the analysis in the context of a defined area provides an effective tool for assessing the relationship between capability shortfalls and the scope of Federal support to States and tribes in impacted areas. Table 11 below provides a sample template for “fact sheets” that summarize core capability analysis. Table 12 provides an example of a fact sheet. These fact sheets can provide useful tools for guiding the development of objectives and COAs, and summarizing analysis later in the planning process.

Table 11: EXAMPLE Core Capability Fact Sheet Format

Core Capability		
• (List the core capability being analyzed)		
Federal Support Functions (ESFs/RSFs)		
• (list the ESFs/RSFs with operational responsibilities for this core capability)		
Federal Mission Objectives		
• Identify the mission objectives from the plan for this core capability, by phase		
State/Tribal Capabilities		
State/Tribe A Capability Summary and Description	State/Tribe B Capability Summary and Description	State/Tribe C Capability Summary and Description
Thresholds for Requesting EMAC/Federal Support		
State/Tribe A Threshold Description	State/Tribe B Threshold Description	State/Tribe C Threshold Description
State/Tribe Shortfalls		
State/Tribe A Shortfalls	State/Tribe B Shortfalls	State/Tribe C Shortfalls

Table 12: EXAMPLE Situational Assessment Core Capability Fact Sheet

Situational Assessment		
Provide all decision makers with decision-relevant information regarding the nature and extent of the hazard, any cascading effects, and the status of the response.		
<ul style="list-style-type: none"> Deliver information sufficient to inform decision making regarding immediate life-saving and life-sustaining activities and engage governmental, private, and civic sector resources within and outside of the affected area to meet basic human needs and stabilize the incident. Deliver enhanced information to reinforce ongoing life-saving and life-sustaining activities and engage governmental, private, and civic sector resources within and outside of the affected area to meet basic human needs, stabilize the incident, and facilitate a transition to recovery. 		
Federal Support Functions (ESFs/RSFs)		
Primary: ESF #5, Information & Planning		
Support: ESFs #2, #3, #7, #8, #12, #15		
Federal Mission Objectives		
<ul style="list-style-type: none"> Coordinate existing planning and operational analysis processes across public, private, and nongovernmental sectors to facilitate the timely analysis of situational information. Collect, distill, and analyze incoming information from all available sources within and outside of the affected area. Develop, validate, and make available decision-relevant information to facilitate situational understanding across the public, private, and nongovernmental sectors. Refine preliminary situational assessments with enhanced information collection, validation, and analysis processes to inform decision making. 		
State/Tribal Capabilities		
Colorado: Air reconnaissance resources: <ul style="list-style-type: none"> Civil Air Patrol CO National Guard Types of information software: <ul style="list-style-type: none"> WebEOC All local EMAs have access Connectivity with each State agency SA Tool (limited access) EM Systems NGOs: <ul style="list-style-type: none"> The Salvation Army American Red Cross Colorado Voluntary Organizations Active in Disaster Colorado Veterinary Medical Association 	South Dakota: <ul style="list-style-type: none"> Field staff coordination for size-up and situational reports Rapid assessment responsibilities checklist Rapid assessment questionnaire 	Wyoming: Air reconnaissance capabilities: <ul style="list-style-type: none"> Wyoming Wing, Civil Air Patrol Wyoming National Guard Information-sharing software: <ul style="list-style-type: none"> WebEOC – Federal, State, county and local agencies can have access to WebEOC. The request must go through Wyoming Office of Homeland Security. Situational assessment capabilities/resources Wyoming Department of Emergency
Thresholds for Requesting EMAC/Federal Support		
Colorado: <ul style="list-style-type: none"> Three (3) separate simultaneous emergencies involving 100,000 people per emergency 	South Dakota: <ul style="list-style-type: none"> Large multiple events involving multiple jurisdictions Taxing State organic capabilities 	Wyoming: <ul style="list-style-type: none"> Large geographic area impacted Multiple counties involved/at least one-fourth of the State involved in response Incidents requiring the State to exhaust all resources
State Shortfalls		
Colorado: <ul style="list-style-type: none"> Situation dependent Situation Status Unit (Possibly) 	South Dakota: <ul style="list-style-type: none"> Situation Status Unit 	Wyoming: Situation dependent <ul style="list-style-type: none"> During recent events the State has relied heavily on type I, II, III Fire IMTs Air reconnaissance resources <ul style="list-style-type: none"> Civil Air Patrol