



OREGON DEPARTMENT OF
EMERGENCY MANAGEMENT

Overview of the National Preparedness Planning Process & Continuity

6 Step Planning Process



FEMA's six-step planning process guides developing emergency plans, focusing on a cycle of preparedness, and aims to create adaptable plans for prevention, protection, response, recovery, and mitigation.



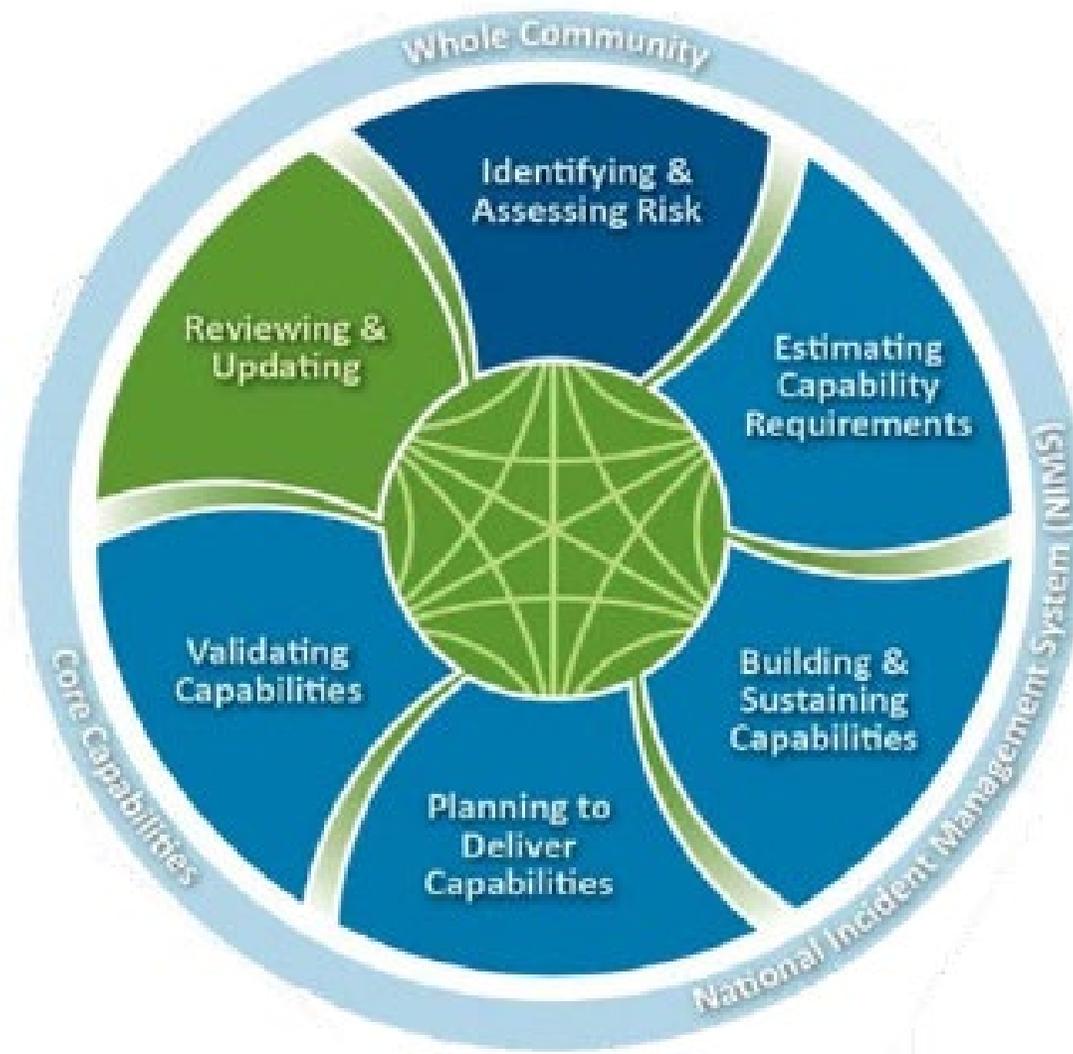
9 Step Continuity Planning Process



FEMA's nine-step **National Continuity Planning Framework** is designed for the continuity planner, but contains the same basic principles: a whole community approach, develop a collaborative planning team, train & exercise, etc. Use the process that best fits your organization.



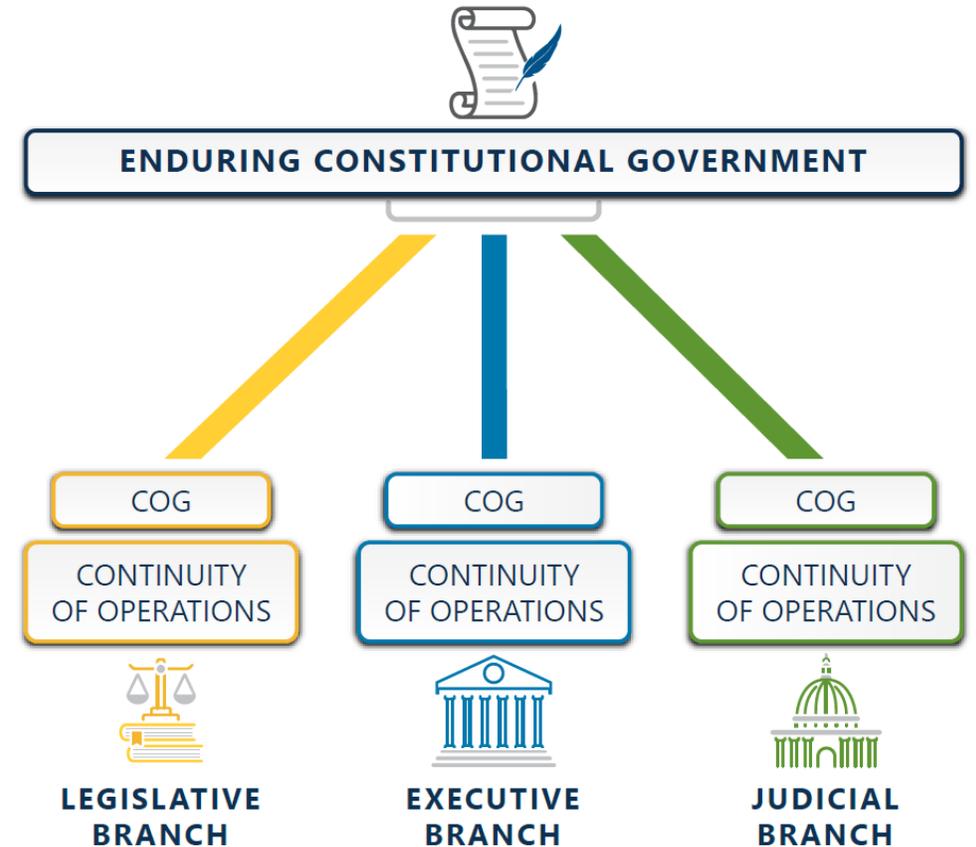
Preparedness System Preparedness Cycle





National Preparedness & Continuity

The National Preparedness System and the National Incident Management system (NIMS), with the foundational support of continuity, enables the Nation to be able to prevent, protect against, respond to, and recover from any incident with minimal disruptions to the functions and services that citizens expect.





Mission Areas and Core Capabilities

National Preparedness Goals & Continuity: The National Preparedness Goal establishes 32 core capabilities. The continuity plan is part of whole community preparedness with the four phases of continuity spanning five mission areas: prevention, protection, mitigation, response, and recovery.





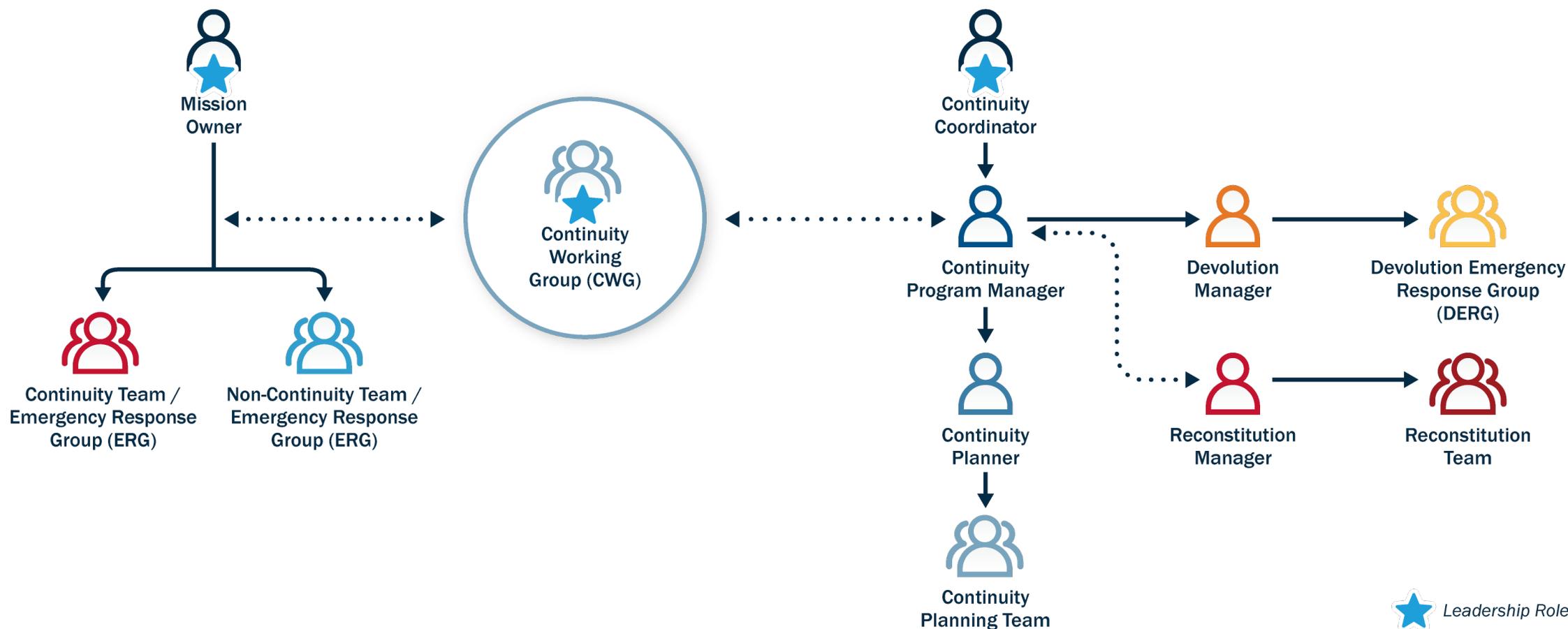
National Preparedness & Continuity Planning

- A comprehensive continuity program increases the likelihood that organizations can perform essential functions and deliver core capabilities and essential services during No-notice emergencies - including localized natural hazards, accidents, technological emergencies, and terrorist attacks.
- Preparedness planning is guided by three principles
 1. Preparedness and Resilience.
 2. Whole Community Engagement, and
 3. Scalable, Flexible, and Adaptable Capabilities.



Step1: Form a Collaborative Planning Team

- Identify a core planning team





Step1: Form a Collaborative Planning Team

- Engage the whole community in planning
 - Be inclusive
 - Understand who is in your community

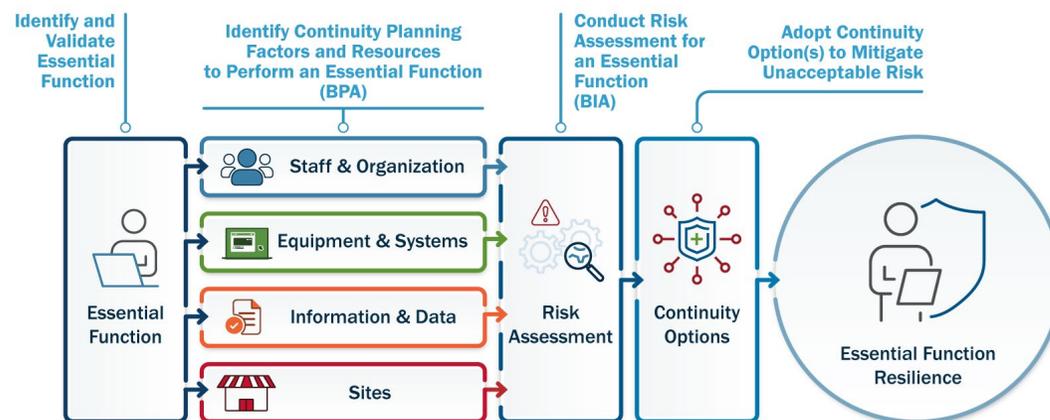




Step 2: Understand the Situation (BIA – Step 4)

There are two components to understanding the situation:

- Understand risk (Risk Assessment – Step 4)
 - Anticipate response and recovery requirements
 - Estimate the likelihood and magnitude of incidents that may occur
- Use the results of risk analysis or assessment (Business Impact Analysis – Step 4)
 - Risk assessments generate facts and assumptions
 - Planning Assumptions enable planner to envision expected conditions in an operations environment.
 - Research increases facts over assumptions





THIRA / SPR / Capability Assessment

- Threat and Hazard Identification and Risk Assessment
 - FEMA three-year process to lay the foundation for determining a community's capability gaps as part of the Stakeholder Preparedness Review (SPR).
- Stakeholder Preparedness Review
 - FEMA annual assessment of current capability levels against the targets identified in the Threat and Hazard Identification and Risk Assessment (THIRA).
- Capability Assessment
 - Oregon annual assessment for state, local and tribal partners of capabilities to inform the annual SPR.



Figure 1: The steps of the THIRA and SPR processes.



Step 3: Determine Goals and Objectives (Step 2, 3, & 6)

Goals and Objectives:

- Are based on:
 - Capabilities for responding to and recovering from high-risk and/or high-impact threats/hazards
 - Likely response constraints, demands, or needs associated with the threat/hazard
- Should include:
 - Determining operational priorities
 - Setting goals and objectives



Step3: Determine Goals and Objectives

Goals	Objectives
<ul style="list-style-type: none">• Broad, general statements of what personnel and equipment are supposed to achieve• Capabilities required for a successful operation	<p>More specific and identifiable actions that participants in the operation must accomplish</p>



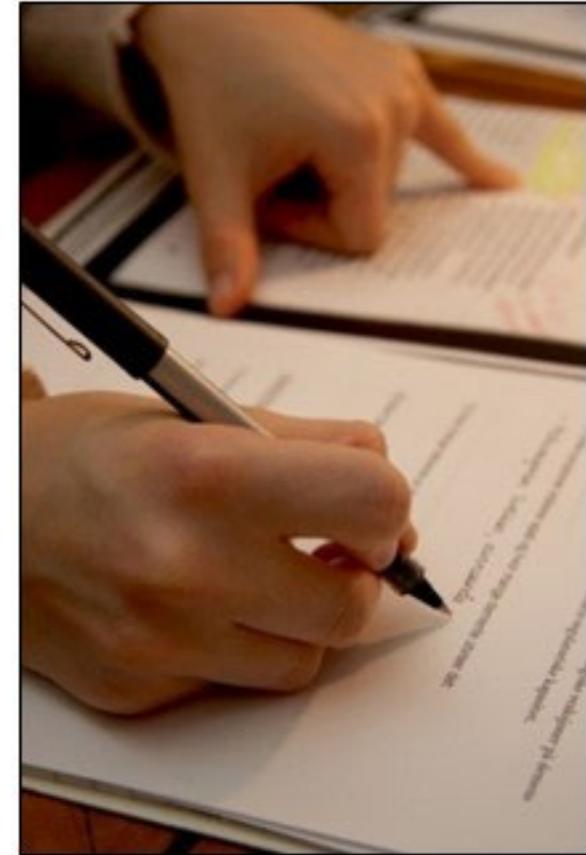
Step 4: Develop the Plan (Step 6 – 8)

- Develop and analyze courses of action.
 - Brainstorm objectives- what strategies are we going to use
 - Who will do what, when, where, how, and with what resources
- Identify resources.
- Identify information and intelligence needs.



Step 5: Prepare and Review the Plan (Step 6 – 8)

- Write the plan.
 - If you have strong objectives and identified courses of action, the plan has written itself
 - Develop a plan outline.
 - Develop the content for the draft plan and annexes.
 - Don't reinvent the wheel, use others examples and templates.
 - Allow for review by all who have plan responsibilities.
 - Develop the final draft.
- Review the plan.
 - Fresh eyes to review, someone who knows the context and can provide a clear review.
 - Don't skip this step.
- Approve and disseminate the plan.





Step 6: Implement and Maintain the Plan (Step 9 & 1)

- Train on the plan.
- Exercise the plan.
- Review, revise, and maintain the plan.
 - Don't let it sit on the shelf





Planning Process Resources

OEM Capability Assessment Page:

https://www.oregon.gov/oem/emresources/plans_assessments/pages/state-capability-assessment.aspx

OEM THIRA SPR Training Video:

<https://youtu.be/-hjNmH5o6yg>

CPG 101 : Developing and Maintaining Emergency Operations Plans

https://www.fema.gov/sites/default/files/documents/fema_npd_developing-and-maintaining-emergency_052125.pdf

Trainings:

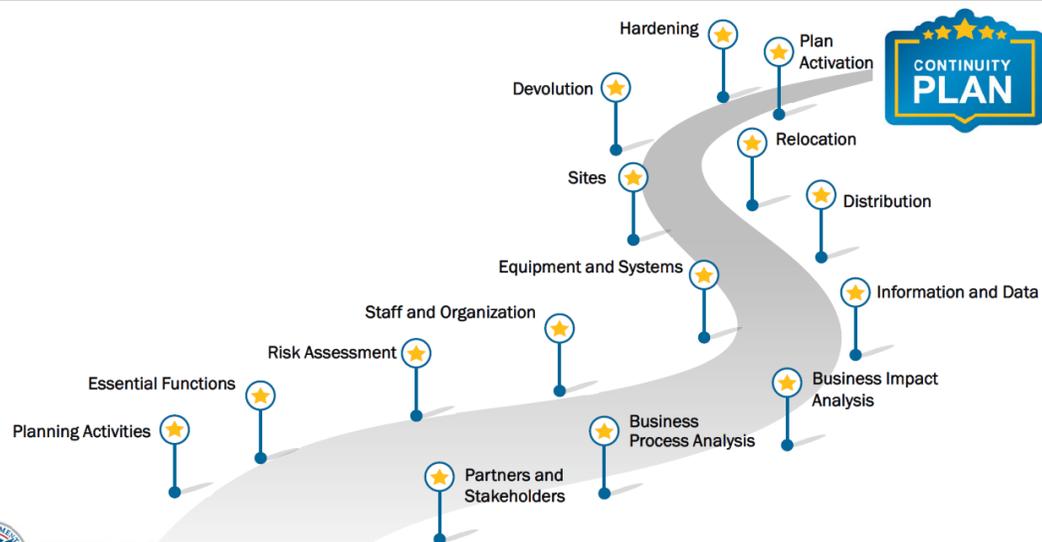
L0103 Planning: Emergency Operations

IS-235 Emergency Planning



FEMA's Continuity Assessment Tool - CAT

Roadmap to the Continuity Plan



The [Continuity Assessment Tool \(CAT\)](#) serves as a tool to evaluate areas of strength and areas for improvement within continuity programs.

The CAT assists organizations in meeting continuity guidelines, as outlined in the [CGC – Continuity Guidance Circular](#).



Evaluation: Using the CAT

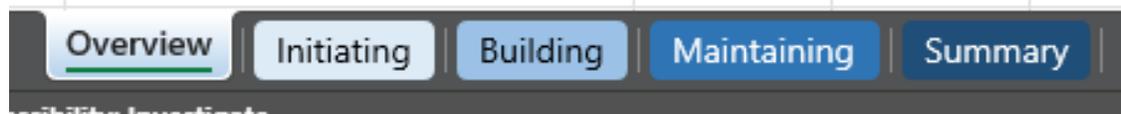
- The CAT is intended to be completed on a regular basis (e.g., annually) by the CWG and other partners who may play an important part in the success of the program.
- Each section of the CAT includes critical continuity activities and supporting tasks and has a corresponding chapter in the CGC.
- Supporting tasks are further divided according to the five solution areas found in the Stakeholder Preparedness Review: Planning, Organization, Equipment, Training, and Exercise (POETE).



Evaluation: CAT Scoring System

The CAT uses a 10-point scoring system to determine the completeness of each continuity activity or supporting task identified in the tool.

Label	Not Applicable	No Progress	Limited Progress			Moderate Progress			Substantial Progress			Objective Achieved
Explanation	If the continuity capability objective is not applicable (N/A) to your organization, leave the score value blank. A N/A score value will not impact the average.	Score of 0 indicates that while this aspect of the continuity capability may be applicable to the organization, no progress has been made towards achieving the identified objective. This may be because there has been no activity in this area or because of insurmountable barriers.	<ul style="list-style-type: none"> • Preliminary efforts have been initiated. • Needs related to this objective have been recognized and the organization is beginning to identify requirements in this area. • Few, if any, steps have been implemented successfully so far. 	<ul style="list-style-type: none"> • Significant efforts are under way but the objective has not yet been fulfilled. • Important gaps remain. • Challenges that could potentially undermine achievement exist and have not yet been resolved. 	<ul style="list-style-type: none"> • Efforts to achieve this objective are established and stable. • Some weaknesses or barriers that prevent success persist, but strategies to resolve them are documented and well under way. 	Score of 10 indicates that the organization has fully achieved this objective with regard to its continuity capability. All barriers to success have been overcome. Strengths are robust and likely to be sustained. Evidence is readily available attesting to this level of achievement.						
Scale Value	N/A	0	1	2	3	4	5	6	7	8	9	10





Evaluation: How to Complete the CAT

1. Review the Continuity Capability Objectives.
2. Select the scoring value on the scale that best represents how much progress the organization has made toward achieving the objective or criterion described by the statement.

Initiating Planning: Initiating a Continuity Capability												
Continuity Capability Objective	0	1	2	3	4	5	6	7	8	9	10	Score
1.1 Has the organization developed a project plan to guide the development of the organization's continuity capability?	No effort nor recognition of need for a continuity project plan.	The organization has made preliminary efforts to develop a project plan, timeline, and milestones, but has not drafted the project plan.				The organization has drafted a project plan, timeline, and milestones, but the plan is not finalized or approved.			The organization has approved and adopted the project plan, timeline, and milestones and is preparing to implement the plan.		The organization has adopted the project plan and is implementing the plan as outlined.	5



Evaluation: How to Complete the CAT, cont.

- Using the drop-down menu located in the “Score” column, select the value that best represents the score for each task. Once a score is selected, the cell will automatically populate the appropriate color (green, yellow, or red) corresponding to the scale. To omit the objective, leave the score value blank or select N/A.

	Continuity Capability Objective	0	1	2	3	4	5	6	7	8	9	10	Score
1.1	Has the organization developed a project plan to guide the development of the organization's continuity capability?	No effort nor recognition of need for a continuity project plan.	The organization has made preliminary efforts to develop a project plan, timeline, and milestones, but has not drafted the project plan.				The organization has drafted a project plan, timeline, and milestones, but the plan is not finalized or approved.			The organization has approved and adopted the project plan, timeline, and milestones and is preparing to implement the plan.		The organization has adopted the project plan and is implementing the plan as outlined.	5
1.2	Has the organization identified existing applicable continuity regulations or requirements to guide development of the continuity plan?	No effort nor recognition of need to identify continuity regulations or requirements.	The organization has conducted preliminary efforts to identify existing, applicable continuity regulations or requirements.				The organization has created a list of applicable continuity regulations and requirements.			The organization reviewed the list of applicable continuity regulations and requirements and is coordinating requirements with current planning efforts.		The organization uses applicable continuity regulations and requirements to guide program planning purposes. Requirements are reviewed at least annually.	N/A 0 1 2 3 4 5 6 7 8 9 10
1.3	Has the organization integrated critical external partners into the continuity planning process?	No effort nor recognition of need to identify potential partnerships within the community as it relates to continuity.	The organization conducted preliminary efforts to identify community partnerships have been made.				The organization met with critical community partners and discussed ways to incorporate them into the continuity program, but no official activities have taken			The organization integrated most, but not all, of the identified critical community partners into the organization's continuity planning effort.		The organization integrated critical community partners into the continuity planning effort. These partners are active participants in continuity program	

- The scores will automatically populate on the “Summary” worksheet.



Evaluation: CAT Example

Initiating Planning: Initiating a Continuity Capability

		0	1	2	3	4	5	6	7	8	9	10	Score
Planning	1.1	Has the organization developed a project plan to guide the development of the organization's continuity capability?	No effort nor recognition of need for a continuity project plan.	The organization has made preliminary efforts to develop a project plan, timeline, and milestones, but has not drafted the project plan.			The organization has drafted a project plan, timeline, and milestones, but the plan is not finalized or approved.			The organization has approved and adopted the project plan, timeline, and milestones and is preparing to implement the plan.		The organization has adopted the project plan and is implementing the plan as outlined.	5
	1.2	Has the organization identified existing applicable continuity regulations or requirements to guide development of the continuity plan?	No effort nor recognition of need to identify continuity regulations or requirements.	The organization has conducted preliminary efforts to identify existing, applicable continuity regulations or requirements.			The organization has created a list of applicable continuity regulations and requirements.			The organization reviewed the list of applicable continuity regulations and requirements and is coordinating requirements with current planning efforts.		The organization uses applicable continuity regulations and requirements to guide program planning purposes. Requirements are reviewed at least annually.	8
	1.3	Has the organization integrated critical external partners into the continuity planning process?	No effort nor recognition of need to identify potential partnerships within the community as it relates to continuity.	The organization conducted preliminary efforts to identify community partnerships have been made.			The organization met with critical community partners and discussed ways to incorporate them into the continuity program, but no official activities have taken place.			The organization integrated most, but not all, of the identified critical community partners into the organization's continuity planning effort.		The organization integrated critical community partners into the continuity planning effort. These partners are active participants in continuity program activities.	4
	1.4	Has the organization coordinated with and integrated internal components and offices into the continuity planning process?	No effort nor recognition of need to coordinate continuity plans and programs across the organization.	The organization conducted preliminary efforts to identify intra-organizational continuity offices, plans, and programs, but has not yet conducted planning or coordination activities.			The organization has identified and reviewed other intra-organizational continuity offices, plans, and programs; active planning or coordination is in the initial stages.			The organization is currently coordinating and integrating with other intra-organizational offices and programs to synchronize continuity plans.		The organization formally coordinated and synchronized continuity plans with other intra-organizational continuity offices, plans, and programs. These partners are active participants in continuity program activities.	0



Evaluation: CAT Summary Worksheet

- The total scores will automatically populate in the Summary worksheet while the user completes the CAT.
- The summary breaks down scoring by:
 - POETE elements.
 - Initiating, building, and maintaining a continuity capability.
 - A comprehensive continuity capability score.
- Scores designated as red or yellow should be considered capability gaps and prioritized as areas requiring improvement.



Evaluation: CAT Summary Worksheet, cont.

Stage of Continuity Planning	AVERAGE
Initiating Planning: Initiating a Continuity Capability. This section examines whether the organization has addressed the foundational elements of a continuity program that will increase the success of continuity planning and operations.	8.0
Building a Capability. This section examines whether the organization has built a comprehensive continuity plan and program to support the performance of essential functions during a disruption to normal operations.	5.1
Maintaining a Capability. This section examines whether the organization is maintaining a continuity capability over a multiyear period and maturing its continuity program and plan.	3.8

Organizational Continuity Capability by POETE Element

These supporting tasks are further divided according to the five solution areas found within the State Preparedness Report: planning, organization, equipment, training, and exercises (POETE). Through this format, an organization can identify its overall progress against the three steps of initiating, building, and maintaining a continuity capability, as well as identify its progress against the POETE elements. This summarizes the score for each organization by each POETE element and by each stage of continuity planning.

POETE ELEMENTS	Initiating	Building	Maintaining	AVERAGE
Planning	7.5	5.6	3.4	5.5
Organization	8.3	5.5	8.0	7.3
Equipment	6.0	6.0	6.0	6.0
Training	10.0	1.5	3.7	5.1
Exercise	10.0	4.6	3.0	5.9

Comprehensive Continuity Capability Score

This summary page calculates and provide the comprehensive score for the organization's continuity capability, as well as a summary score for each chapter, each POETE element, and each POETE element within each chapter.

Comprehensive Continuity Capability Score

5.6



CAT - Program Assessment THANK YOU !!!

The Capability Assessment Tool (CAT) can be found on the OEM Continuity Program's Continuity Planning Library:

https://www.oregon.gov/oem/emresources/Plans_Assessments/coop/Pages/continuity-planning-library.aspx



Severe Weather



Supply Chain Disruption



Cyberattack