



Overview of the National Planning Frameworks

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Homeland
Security

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Introduction

Presidential Policy Directive (PPD) 8: National Preparedness was released in March 2011 with the goal of 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. PPD-8 defines five preparedness mission areas—Prevention, Protection, Mitigation, Response, and Recovery—and mandates the development of a series of policy and planning documents to explain and guide the Nation’s approach for ensuring and enhancing national preparedness.

The National Planning Frameworks, which are part of the National Preparedness System,¹ set the strategy and doctrine for building, sustaining, and delivering the core capabilities identified in the National Preparedness Goal.² They describe the coordinating structures and alignment of key roles and responsibilities for the whole community and are integrated to ensure interoperability across all mission areas.³ The frameworks address the roles of individuals; nonprofit entities and nongovernmental organizations (NGOs); the private sector; communities; critical infrastructure; governments; and the Nation as a whole. This document is comprised primarily of excerpts from the National Planning Frameworks and presents a high-level introduction to each framework, as well as the key themes identified across the frameworks. The mission areas represent a spectrum of activity. They are highly interdependent and there is regular coordination among departments and agencies working to prevent, protect against, mitigate, respond to, and recover from all threats and hazards.

Key Themes

Each framework establishes a set of key themes that will guide the development and execution of the 31 core capabilities identified in the National Preparedness Goal. These key themes are intrinsic to the Nation’s success in ensuring and enhancing national preparedness and are integrated across the frameworks. Three key themes are described below: Engaged Partnership with the Whole Community; Scalability, Flexibility, and Adaptability in Implementation; and Integration Among the Frameworks.

Engaged Partnership with the Whole Community

Engaging the whole community is critical to successfully achieving a secure and resilient Nation, and individual and community preparedness is a key component. An effective partnership relies

¹ The National Preparedness System describes the process employed to build, sustain, and deliver core capabilities in order to achieve the goal of a secure and resilient Nation.

² The National Preparedness Goal defines the core capabilities required to achieve the goal of “a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.”

³ The whole community includes individuals, families, and households; communities; the private and nonprofit sectors; faith-based organizations; and local, state, tribal, territorial, and Federal governments. Whole community is defined in the National Preparedness Goal as “a focus on enabling the participation in national preparedness activities of a wider range of players from the private and nonprofit sectors, including nongovernmental organizations and the general public, in conjunction with the participation of Federal, state, and local governmental partners in order to foster better coordination and working relationships.” The National Preparedness Goal is located online at <http://www.fema.gov/ppd8>.

on engaging all elements of the whole community and, when appropriate, international partners. Engaged partnership and coalition building includes clear, consistent, effective,⁴ and culturally appropriate communication and shared situational awareness. Participation within these partnerships should include advocates for all elements of the whole community. The most effective partnerships within a community capitalize on all available resources—identifying, developing, fostering, and strengthening new and existing coordinating structures to create a unity of effort.

Scalability, Flexibility, and Adaptability in Implementation

Core capabilities should be scalable, flexible, and adaptable and executed as needed to address the full range of threats and hazards as they evolve. Scalable, flexible, and adaptable coordinating structures are essential in aligning the key roles and responsibilities to deliver the core capabilities. The flexibility of such structures helps ensure that communities across the country can organize efforts to address a variety of risks based on their unique needs, capabilities, demographics, governing structures, and non-traditional partners.

Integration Among the Frameworks

The five mission areas aid in organizing national preparedness activities. Core capabilities are highly interdependent and applicable to any threat or hazard. All five mission areas integrate with each other through interdependencies, shared assets, and overlapping objectives.

Three core capabilities span all five mission areas: Planning; Public Information and Warning; and Operational Coordination. The common core capabilities serve to unify the mission areas, promote unity of effort, and are essential foundations for the success of the remaining core capabilities.

In addition to the three common core capabilities, a number of other core capabilities involve more than one mission area (e.g., Protection and Prevention share a number of common elements and rely on many of the same core capabilities). Integration among mission area resources and processes is important to maximize core capabilities and minimize risk. Many of the core capabilities can be linked across mission areas through shared assets and services. For example, functionality provided through geospatial services that build situational awareness can be applied across multiple Response core capabilities, as well as core capabilities in the other four mission areas.

Framework Overviews

National Prevention Framework

The National Prevention Framework describes what the whole community—from community members to senior leaders in government—should do upon the discovery of intelligence or information regarding an imminent threat to the homeland in order to thwart an initial or follow-on terrorist attack. This Framework helps achieve the National Preparedness Goal of a secure

⁴ Emergency management information, warnings, and communications must be effective for individuals with disabilities and provide meaningful access to individuals with limited English proficiency (LEP) through the use of appropriate auxiliary aids and services (e.g., interpreters, captioning, alternate format documents).

and resilient Nation that is optimally prepared to prevent an imminent terrorist attack within the United States. The processes and policies described in this document will be conducted in accordance with existing laws and regulations.

This Framework provides guidance to leaders and practitioners at all levels of government; private- and non-profit sector partners; and individuals to prevent, avoid, or stop a threatened or actual act of terrorism by:

- Describing the core capabilities needed to prevent an imminent act of terrorism
- Aligning key roles and responsibilities to deliver Prevention capabilities in time-sensitive situations
- Describing coordinating structures that enable all stakeholders to work together
- Laying the foundation for further operational coordination and planning that will synchronize Prevention efforts within the whole community and across the Protection, Mitigation, Response, and Recovery mission areas.

Prevention includes those capabilities necessary to avoid, prevent, or stop a threatened or actual act of terrorism. The seven Prevention core capabilities are:

- Planning
- Public Information and Warning
- Operational Coordination
- Forensics and Attribution
- Intelligence and Information Sharing
- Interdiction and Disruption
- Screening, Search, and Detection.

Coordinating structures facilitate problem solving, improve access to resources, and foster coordination and information sharing. Departments or agencies, as well as private and nonprofit entities, with unique missions in Prevention, bring additional capabilities to bear through these structures. These structures can function on multiple levels, to include national-level coordinating structures such as the DHS National Operations Center (NOC), the Federal Bureau of Investigation (FBI) Strategic Information and Operations Center (SIOC), the Office of the Director of National Intelligence (ODNI) National Counterterrorism Center (NCTC), the Department of Defense (DOD) National Military Command Center (NMCC), the FBI National Joint Terrorism Task Force (NJTTF), and others. Field coordinating structures, such as the FBI JTTFs and Field Intelligence Groups (FIGs); state and major urban area fusion centers; state and local counterterrorism and intelligence units; and others also play a critical role as coordinating structures for the prevention of imminent acts of terrorism. These structures are scalable, flexible, and adaptable.

National Protection Framework

The National Protection Framework describes what the whole community—from community members to senior leaders in government—should do to safeguard against acts of terrorism, natural disasters and other threats or hazards. This Framework helps achieve the National

Preparedness Goal of a secure and resilient Nation that is prepared to protect against the greatest risks in a manner that allows American interests, aspirations, and way of life to thrive. This Framework provides guidance to leaders and practitioners at all levels of government; the private and nonprofit sectors; and individuals by:

- Describing the core capabilities needed to achieve the Protection mission area and end-state of “creating conditions for a safer, more secure, and more resilient Nation;”⁵
- Aligning key roles and responsibilities to deliver Protection capabilities;
- Describing coordinating structures that enable all stakeholders to work together; and
- Laying the foundation for further operational coordination and planning that will synchronize Protection efforts within the whole community and across the Prevention, Mitigation, Response, and Recovery mission areas.

The National Protection Framework includes those capabilities necessary to secure the homeland against acts of terrorism and manmade or natural disasters.

The 11 Protection core capabilities are:

- Planning
- Public Information and Warning
- Operational Coordination
- Access Control and Identity Verification
- Cybersecurity
- Intelligence and Information Sharing
- Interdiction and Disruption
- Physical Protective Measures
- Risk Management for Protection Programs and Activities
- Screening, Search, and Detection
- Supply Chain Integrity and Security

In the context of the National Protection Framework, coordinating structures support protection program implementation and strengthen the Nation’s ability to increase the protective posture when required to augment operations that take place during temporary periods of heightened alert, during periods of incident response, or in support of planned events. These structures are used to conduct planning, implement training and exercise programs, promote information sharing, shape research and development priorities and technical requirements, address common vulnerabilities, align resources, and promote the delivery of Protection capabilities.

The range of coordinating structures that contribute to the Protection mission area includes, but is not limited to: operations centers; law enforcement task forces; critical infrastructure

⁵ The Protection end-state is defined in the National Preparedness Goal.

partnerships; governance boards; regional consortiums; information sharing mechanisms such as state and major urban area fusion centers; health surveillance networks; and public-private partnership organizations at all levels.

National Mitigation Framework

The National Mitigation Framework establishes a common platform and forum for coordinating and addressing how the Nation manages risk through mitigation capabilities. It describes mitigation roles across the whole community. The Framework addresses how the Nation will develop, employ, and coordinate mitigation core capabilities to reduce loss of life and property by lessening the impact of disasters. Building on a wealth of objective and evidence-based knowledge and community experience, the Framework seeks to increase risk awareness and leverage mitigation products, services, and assets across the whole community.

The National Mitigation Framework discusses seven core capabilities required for entities involved in mitigation:

- Planning
- Public Information and Warning
- Operational Coordination
- Community Resilience
- Long-term Vulnerability Reduction
- Risk and Disaster Resilience Assessment
- Threats and Hazard Identification.

The coordinating structures for mitigation should focus on creating a national culture shift that embeds risk management and mitigation in all planning, decision making, and development. Regardless of the level of the coordinating structure, consideration of risk management and mitigation will reduce the Nation's risk and associated consequences. Coordinating structures at the national level, particularly the Federal Government, should always strive to make Federal programs more useful and reduce the time it takes to go through processes.

National Response Framework

The National Response Framework (NRF) 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 National Incident Management System (NIMS)⁶ to align key roles and responsibilities across the Nation. The NRF describes specific authorities and best practices for managing incidents that range from the serious but purely local to large-scale terrorist attacks or catastrophic⁷ natural disasters. The NRF describes the principles, roles and responsibilities, and coordinating structures for delivering the core capabilities required to respond to an incident and further describes how response efforts integrate with those of the other mission areas. The NRF is

⁶ <http://www.fema.gov/emergency/nims>

⁷ A catastrophic incident is defined as any natural or manmade incident, including terrorism, which results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, or government functions.

always in effect, and elements can be implemented at any time. The structures, roles, and responsibilities described in the NRF can be partially or fully implemented in the context of a threat or hazard, in anticipation of a significant event, or in response to an incident. Selective implementation of NRF structures and procedures allows for a scaled response, delivery of the specific resources and capabilities, and a level of coordination appropriate to each incident.

The Response mission area focuses on ensuring that the Nation is able to respond effectively to all types of incidents that range from those that are adequately handled with local assets to those of catastrophic proportion that require marshaling the capabilities of the entire Nation. The objectives of the Response mission area define the capabilities necessary to save lives, protect property and the environment, meet basic human needs, stabilize the incident, restore basic services and community functionality, and establish a safe and secure environment moving towards the transition to recovery.⁸ The Response mission area includes 14 core capabilities:

- Planning
- Public Information and Warning
- Operational Coordination
- 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.

Scalable, flexible, and adaptable coordinating structures are essential in aligning the key roles and responsibilities to deliver the Response mission area's core capabilities. The flexibility of such structures helps ensure that communities across the country can organize response efforts to address a variety of risks based on their unique needs, capabilities, demographics, governing structures, and non-traditional partners. The NRF is not based on a one-size-fits-all organizational construct, but instead acknowledges the concept of a tiered response, which emphasizes that response to incidents should be handled at the lowest jurisdictional level capable of handling the mission.

⁸ As with all activities in support of the National Preparedness Goal, activities taken under the Response mission must be consistent with all pertinent statutes and policies, particularly those involving privacy and civil and human rights, such as the Americans with Disabilities Act of 1990, Rehabilitation Act of 1973, and Civil Rights Act of 1964.

National Disaster Recovery Framework

The National Disaster Recovery Framework (NDRF) is a guide to promote effective recovery, particularly for those incidents that are large-scale or catastrophic. The NDRF provides guidance that enables effective recovery support to disaster-impacted states, tribes, 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.

The NDRF defines:

- Core recovery principles
- Roles and responsibilities of recovery coordinators and other stakeholders
- A coordinating structure that facilitates communication and collaboration among all stakeholders
- Guidance for pre- and post-disaster recovery planning
- The overall process by which communities can capitalize on opportunities to rebuild stronger, smarter, and safer.

The eight core capabilities described in the NDRF are:

- Planning
- Public Information and Warning
- Operational Coordination
- Economic Recovery
- Health and Social Services
- Housing
- Infrastructure Systems
- Natural and Cultural Resources.

The NDRF introduces four new concepts and terms:

- Federal Disaster Recovery Coordinator (FDRC)
- State or Tribal Disaster Recovery Coordinators (SDRCs or TDRCs)
- Local Disaster Recovery Managers (LDRMs)
- Recovery Support Functions (RSFs).

The FDRC, SDRC, TDRC, and LDRM provide focal points for incorporating recovery considerations into the decision-making process and monitoring the need for adjustments in assistance where necessary and feasible throughout the recovery process. The RSFs are a coordinating structure that facilitates problem solving, improves access to resources, and fosters coordination among state and Federal agencies, nongovernmental partners, and stakeholders. Each RSF has coordinating and primary Federal agencies and supporting organizations that operate together with local, state, and tribal government officials, NGOs, and private sector

partners. The concepts of the FDRCs, SDRCs, TDRCs, and RSFs are scalable to the nature and size of the disaster.

Conclusion

The National Planning Frameworks explain the role of each mission area in national preparedness and provide the overarching strategy and doctrine for how the whole community builds, sustains, and delivers the core capabilities. Concepts in these frameworks are used to guide follow-on planning activities, which provide further information regarding roles and responsibilities, identify the critical tasks an entity will complete to deliver core capabilities, and identify resources, personnel, and sourcing requirements.

As the National Planning Frameworks are implemented in the Nation's efforts to achieve the highest levels of preparedness, partners across the whole community are encouraged to develop a shared understanding of broad-level strategic implications that can inform critical decisions in building and sustaining capability and capacity. The frameworks are living documents, and will be reviewed regularly to evaluate consistency with existing and new policies, evolving conditions, and real-world application. The first review will be completed no later than 18 months after the release of the frameworks. Subsequent reviews will be conducted in order to evaluate the effectiveness of the frameworks every four years.

Lead departments and agencies, as designated in each framework, will coordinate and oversee the review and maintenance process for each National Planning Framework. The overall review and maintenance process will ensure continued integration among the frameworks. The revision process may include developing or updating any documents necessary in order to promote a unity of effort to build, sustain, and deliver the core capabilities essential to achieving the National Preparedness Goal of a secure and resilient Nation. Significant updates to the frameworks will be vetted through a Federal senior-level interagency review process. Each framework will be reviewed in order to accomplish the following:

- Assess and update information on the core capabilities in support of the mission area goals and objectives
- Ensure that it adequately reflects the organization of responsible entities
- Ensure integration and consistency across all mission areas
- Update processes based on changes in the national risk landscape
- Incorporate lessons learned and effective practices from day-to-day operations, exercises, and actual incidents and alerts
- Reflect progress in the Nation's activities associated with each mission area, the need to execute new laws, executive orders, and Presidential directives, as well as strategic changes to national priorities and guidance, critical tasks, or national capabilities.

The implementation and review of the frameworks will consider effective practices and lessons learned from exercises and operations, as well as pertinent new processes and technologies. These technologies should enable the Nation to adapt efficiently to the evolving risk environment and use data relating to location, context, and interdependencies that allow for effective integration across all missions using a standards-based approach.

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