

## ANNEX I

### NATIONAL PLANNING

#### Purpose

- (28) This Annex is intended to further enhance the preparedness of the United States by formally establishing a standard and comprehensive approach to national planning. It is meant to provide guidance for conducting planning in accordance with the Homeland Security Management System in the National Strategy for Homeland Security of 2007.

#### Background

- (29) The National Preparedness Guidelines designates planning as one of eight national priorities and as a target capability common across all homeland security mission areas. The capability to plan and a standard planning process are essential for the effective implementation and assessment of homeland security initiatives to prevent, protect against, respond to, and recover from terrorist attacks or natural disasters. The security of the Nation requires that all levels of government possess the ability to conduct planning, to develop standard, coordinated plans, and to identify and dedicate resources to the development of those plans. It is further imperative that such plans be regularly tested and improved through an inclusive and open process.

#### Definitions

- (30) In this Annex:
- (a) The phrase “Federal agencies with a role in homeland security” refers to those departments and agencies as set forth in (i) National Security Presidential Directive-1 (NSPD-1), (Organization of the National Security Council System) of February 13, 2001, (ii) Homeland Security Presidential Directive-1 (HSPD-1) (Organization and Operation of the Homeland Security Council) of October 29, 2001, (iii) the National Response Plan as directed by Homeland Security Presidential Directive-5 (HSPD-5) (Management of Domestic Incidents) of February 28, 2003, (iv) the National Infrastructure Protection Plan as directed by Homeland Security Presidential Directive-7 (HSPD-7) (Critical Infrastructure Identification, Prioritization, and Protection) of December 17, 2003, and (v) the National Implementation Plan for the War on Terror.
  - (b) The term “National Planning Scenario” means an event or threat scenario appropriate for national planning by and among all levels and jurisdictions of government, and in coordination with private, non-profit, and volunteer organizations.
  - (c) The term “strategic guidance statement” refers to a document that outlines strategic priorities, broad national strategic objectives, and basic assumptions; describes the envisioned end-state; and establishes the general means necessary to accomplish that end.

- (d) The term “strategic plan” refers to a plan that defines the mission, identifies authorities, delineates roles and responsibilities, establishes mission essential tasks, determines required and priority capabilities, and develops performance and effectiveness measures.
- (e) The term “concept plan” or “CONPLAN” refers to a plan that briefly describes the concept of operations for integrating and synchronizing existing Federal capabilities to accomplish the mission essential tasks, and describes how Federal capabilities will be integrated into and support regional, State, local, and tribal plans.
- (f) The term “operations plan” or “OPLAN” refers to a plan that identifies detailed resource, personnel and asset allocations in order to execute the objectives of the strategic plan and turn strategic priorities into operational execution. An operations plan contains a full description of the concept of operations, to include specific roles and responsibilities, tasks, integration, and actions required, with supporting support function annexes as appropriate.
- (g) The term “tactical plan” refers to the detailed development and identification of individual tasks, actions, and objectives tailored to specific situations and fact patterns at an operational level. Tactical planning is meant to support and achieve the objectives of the operations plan.

### Policy

- (31) It is the policy of the United States Government to enhance the preparedness of the Nation by developing and maintaining a standardized approach to national planning to integrate and effect policy and operational objectives to prevent, protect against, respond to, and recover from all hazards, and comprises: (a) a standardized Federal planning process; (b) national planning doctrine; (c) resourced operational and tactical planning capabilities at each Federal department and agency with a role in homeland security; (d) strategic guidance, strategic plans, concepts of operations, and operations plans and as appropriate, tactical plans; and (e) a system for integrating plans among all levels of government.

### Development of a Standardized National Planning Process and Integration System

- (32) There is established a planning process involving three levels of planning: (a) strategic; (b) operational; and (c) tactical. The planning process will result in the development of a family of related planning documents to include strategic guidance statements, strategic plans, concepts of operations, operations plans, and as appropriate, tactical plans.
- (33) No later than 2 months after the issuance of this Annex, the Secretary of Homeland Security (Secretary) shall submit to the President for approval, through the Assistant to the President for Homeland Security and Counterterrorism, an Integrated Planning System (IPS) that is developed in coordination with the heads of Federal agencies with a role in homeland security and that (a) provides common processes for developing plans, (b) serves to implement phase one of the Homeland Security Management System, and (c) includes the following:

- (i) national planning doctrine and planning guidance, instruction, and process to ensure consistent planning across the Federal Government;
- (ii) a mechanism that provides for concept development to identify and analyze the mission and potential courses of action;
- (iii) a description of the process that allows for plan refinement and proper execution to reflect developments in risk, capabilities, or policies, as well as to incorporate lessons learned from exercises and actual events;
- (iv) a description of the process that links regional, State, local, and tribal plans, planning cycles, and processes and allows these plans to inform the development of Federal plans;
- (v) a process for fostering vertical and horizontal integration of Federal, State, local, and tribal plans that allows for State, local, and tribal capability assessments to feed into Federal plans; and
- (vi) a guide for all-hazards planning, with comprehensive, practical guidance and instruction on fundamental planning principles that can be used at Federal, State, local, and tribal levels to assist the planning process.

#### Development of National Planning Scenarios

- (34) National Planning Scenarios shall be developed, updated, or amended as necessary by the Secretary, in coordination with the heads of Federal agencies with a role in homeland security, and shall be informed by a risk-based analysis intended to focus planning efforts on the most likely or most dangerous threats to the homeland. The Secretary shall update the National Planning Scenarios on a biennial basis, or more frequently if necessary, and notify the Assistant to the President for Homeland Security and Counterterrorism of any updates.

#### Federal Roles and Responsibilities

- (35) After the approval of the IPS, the Secretary shall develop, in coordination with the heads of Federal agencies with a role in homeland security, a strategic guidance statement for each National Planning Scenario developed under section 34. A strategic guidance statement shall be effective upon its approval by the Secretary.
- (36) No later than 90 days after the approval of each strategic guidance statement, the Secretary shall develop, in coordination with the heads of Federal agencies with a role in homeland security and the Director of the National Counterterrorism Center (consistent with section 119 of the National Security Act of 1947, as amended (50 U.S.C. 404o)), a corresponding strategic plan. A strategic plan shall be effective upon its approval by the Secretary.

- (37) No later than 180 days after the approval of each strategic plan under section 36, the Secretary, in coordination with the heads of Federal agencies with a role in homeland security and in consultation with appropriate State, local, and tribal governments, shall develop a concept of operations plan (CONPLAN). A CONPLAN shall be effective upon its approval by the Secretary.
- (38) No later than 120 days after approval of each CONPLAN under section 37, the head of each Federal agency with a role in homeland security shall develop an operations plan (OPLAN) and, at his or her discretion, a tactical plan to execute the roles and responsibilities assigned to that agency in each CONPLAN. The development of an OPLAN (and any tactical plan) may begin before the commensurate strategic plan and CONPLAN are completed.
- (39) As part of regular budget submissions to the Director of the Office of Management and Budget, each Federal agency with a role in homeland security shall incorporate into its overall mission priorities and guidance constraints the following elements:
- (a) the estimated costs, if any, of its role in Federal strategic, operational, and tactical planning; and
  - (b) the estimated costs of executing its responsibilities under any approved OPLAN.
- (40) The Secretary, in coordination with Federal agencies with a role in homeland security, shall develop a National Homeland Security Plan (Plan) that is an overarching strategic plan to guide national efforts to execute the National Strategy for Homeland Security of 2007. This Plan is intended to facilitate Federal homeland security coordination, establish priorities, and define roles and responsibilities for preventing, protecting against, responding to, and recovering from man-made or natural disasters. The Plan shall be submitted to the President for approval through the Assistant to the President for Homeland Security and Counterterrorism within 120 days of the approval of this Annex.

### State and Local Planning

- (41) Developing a synchronized and coordinated planning capability at all levels of government is of paramount national importance. To that end, the Secretary shall:
- (a) expand opportunities for education, training, and professional development for planning communities at all levels, consistent with Executive Order 13434, National Security Professional Development, of May 17, 2007;
  - (b) identify opportunities within Federal homeland security preparedness programs, to foster effective synchronization of Federal, State, local, and tribal plans; and
  - (c) expand opportunities in the National Exercise Program to rigorously test and validate plans for a broader spectrum of the national planning community.

## General Provisions

- (42) All general provisions of HSPD-8 apply to this Annex.
- (43) This Annex is intended only to require Federal agencies with a role in homeland security to standardize their plans, participate in the broader Federal planning system for the purposes of interagency coordination, and participate in the development of formal plans as needed.

## Conforming Amendments to HSPD-5

(44) HSPD-5 (Management of Domestic Incidents) of February 28, 2003 is amended as follows:

- (a) Striking “prevent, prepare for, respond to, and recover from” in section 3 and inserting “prevent, protect against, respond to, and recover from”;
- (b) After “coordinating Federal” in section 4, inserting “preparedness activities and”, and striking “prepare for”;
- (c) Striking “preventing, preparing for, responding to, and recovering from” in section 7 and inserting “preparedness and activities to prevent, protect against, respond to, and recover from”;
- (d) Striking “prevention, preparation, response, and recovery from” in section 10 and inserting “preparedness and activities to prevent, protect against, respond to, and recover from”;
- (e) Striking “prepare for,” in section 12 and inserting “protect against,”;
- (f) Striking “prevention, preparedness, response, and recovery plans” in section 16 and inserting “prevention, protection, response, and recovery plans for use during an impending or actual incident”; and
- (g) Striking “prevention, preparedness,” in section 18 and inserting “preparedness and operational prevention, protection,”.

## Conforming Amendments to HSPD-8

(45) HSPD-8 (National Preparedness) of December 17, 2003 is amended as follows:

- (a) Striking “prevent and respond to” in section 1 and inserting “prevent, protect against, respond to, and recover from”;
- (b) After “prevent,” in section 2(h), inserting “protect against,”;
- (c) After “prevention” in section 3, inserting “and protection”;

- (d) After “prevent” in section 6, inserting “protect against”;
- (e) After “prevention” in section 17, inserting “protection”; and
- (f) After “prevent” in section 19, inserting “protect against”.