

Kentucky Emergency Management Planning Guide 4 2011



How to write Incident Specific and
Support Plans using the Active
Planning Process

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Introduction

This Guidebook provides information on how to develop County Incident Specific Plan (ISP) using the Active Planning process. The Guide first goes through the Active Planning Process and then explains the development of the ISP.

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Active Planning Methodology

What is Active Planning?

Active Planning is a methodology used to develop operational plans to assist in managing an event or incident. The Active Planning methodology uses the Basic Plan and the ESFs and moves them from the concept of how we operate to the operational objectives and mission critical tasks. These operational plans break into two major types: Incident Specific Plans (ISP) and Support Plans. ISPs are plans focused around a specific large-scale incident or events. Support Plans are plans focused on small-scale complex activities inside of larger events or incidents.

The Active Planning Development Process

The Active Planning process is the whether you are putting together an ISP or Support Plan. The parts of the development process are all the same.

This operational planning methodology breaks an event or incident into manageable segments called Phases; under which a set of capabilities are established and managed through objectives and tasks necessary for the successful readiness, response, stabilization and sustainment, and recovery from an event; in which resources are pre-assigned to manage and/or accomplish the objectives or tasks.

Active Planning Phases

Active Plans are broken into three to four phases. Those phases are Readiness, Response, Stabilization & Sustainment, and Recovery. All plans developed under the Active Planning methodology must contain at minimum Response, Stabilization & Sustainment, and Recovery Phase. The Readiness Phase is determined by an event or incident and the ability to obtain pre-incident notification or warning of an event.

Readiness Phase. The Readiness Phase deals with those actions that must occur from the point in which reasonable warning has been given of the possibility or immanent occurrence of an incident.

Response Phase. The Response Phase deals with those activities that must occur from the point in which an event or incident has occurred to the end of “life saving activities” and preparatory activities to stabilize the disaster and provide sustainment to the community.

Stabilization & Sustainment Phase. The Stabilization & Sustainment Phase deals with those activities that must occur to stabilize the community from the event to provide for the intermediate and long-term sustainment of the population or disaster activities.

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Recovery Phase. The Recovery Phase deals with those activities that must occur to provide for the immediate and long-term recovery of a community from an incident or recovery activities and return the community to the “new” normal.

End States

End States are statements that describe what success should look like at the end of each phase. These statements build realistic broad-based goals that can be achieved by operations to move from one phase to another. The End States drive the development of objectives and tasks so that the End State can be achieved.

Baseline Capabilities

Baseline Capabilities are the skill sets needed to successfully prepare for, respond to, stabilize, and recover from an event. There are 16 Baseline Capabilities. These are derived from the Homeland Security: Target Capabilities List. The Baseline Capabilities are broken down by relevant phase of operation. Capabilities have objectives built around them to achieve the ability to do a capability. Baseline Capabilities are only applicable to ISPs. Support Plans have sets of capabilities that must be achieved, but they are dependent on the activity that is being planned. The capabilities that must be achieved in Support Plans should be defined as part of the plan development process.

Baseline Capabilities by Phase

Readiness Phase

1. Provide Warning and Notification

Response Phase

1. Establish Command and Control
2. Establish Adequate Communications
3. Accomplish Rapid Damage and Situational Assessment
4. Provide for Life Saving and Emergency Sheltering
5. Achieve the Ability to Manage and Support External Assistance

Stabilization & Sustainment Phase

1. Establish General Security
2. Provide for Basic Community Medical Needs
3. Provide for Minimum Lifeline Infrastructures
4. Re-establish and Maintain Community Wide Emergency Response Capability
5. Activate Community Long Term Recovery Capability

Recovery Phase

1. Establish Recovery Management
2. Restoration of Infrastructure and Government Services
3. Establish Management for the Reconstruction of Housing
4. Establish Management for Reconstruction of Businesses and Community's Economic Revivification

Span of Control in Active Planning

Key concepts like span of control are very much a part of the Active Planning Process. This concept is applied in two places in Active Planning: development of Objectives and Tasks to support Capabilities; and in the application of applying managers to objectives and agencies within objectives.

Below are the guidelines for Objectives and Task development span of control:

Capabilities – should be able to be accomplished within 5 to 7 Objectives

Objectives – should be able to be accomplished within 3 to 5 tasks

Below are guidelines for assigning Managers and Agencies to Objectives and Tasks:

Objective Mangers – should only be assigned only 5 to 7 objectives to manage per phase.

Tasked Agencies – should be limited to 3 to 5 entities per Task

Developing Objectives

Objectives are operational targets, supported by a set of tasks. Objectives should be clear, high-level assignments like “Alert and Notify EOC Personnel”. The Objective should be related directly to a Capability like “Establish Command & Control”. The Objective is assigned to an ESF within the county EOC to manage the tasks associated with that objective’s accomplished. The manager of an objective is always an ESF Coordinator.

To remain within the guidelines of 5 to 7 objectives required to achieve a capability, objectives need to be broad in scope, only narrowing down the capability to the highest most critical levels of assignments.

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Developing Tasks

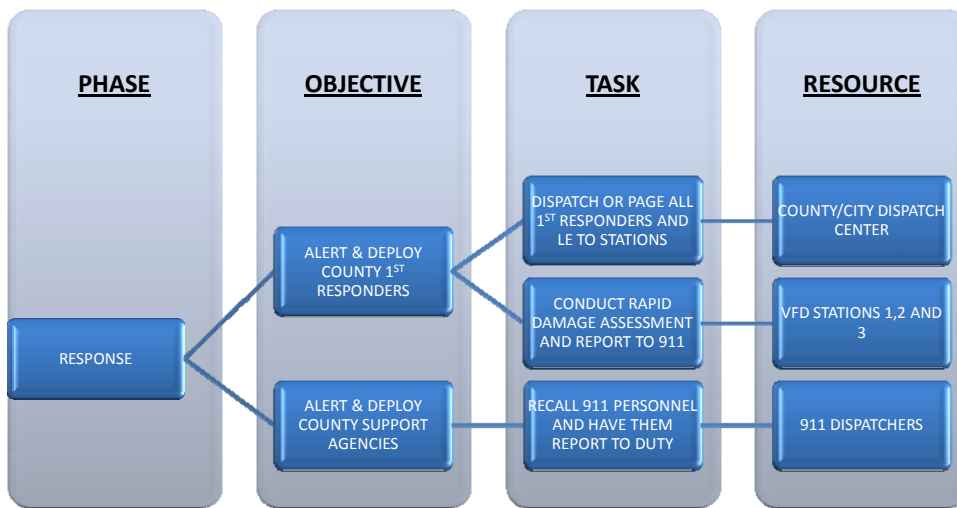
Tasks are mission essential actions necessary to accomplish an objective. Tasks direct the initiation of a set of tactical level actions necessary to achieve or support the accomplishment of an objective. An example of a task is “Initiate call down list for county EOC”. One of the mistakes often made in the writing tasks is delving into tactical level actions or procedures.

Implementing Instructions

Unlike the Basic Plan or the ESFs, ISPs and Support Plans developed with the Active Planning Methodology, must be backed with instructional elements like SOP/Gs, Job Aids, and/or checklists to focus efforts for the effective completion of tasks and objective. These items must extend from the county EOC level to the agency and field operation levels so that county EOC staff is managing the incident and not trying to direct tactical operations.

Figure 13: AP Matrix

Response Objective - Task - Resource



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Incident Specific Plans (ISPs)

ISP Requirements

1. All counties will have at least one major disaster ISP.
2. All ISPs, unless otherwise directed by program or grant requirements, must be written using the Active Planning Methodology.
3. Counties must show significant progress towards completion of conversion of their EOP from the Annex/Appendices format to the ESF format before they will be eligible for concurrence or state recognition of an ISP excluding Tab-Q Plans.
4. Tab-Q Plans are to be considered ISP.
5. ISPs must be signed by all parties who have been tasked with mission as part of the plan.

ISPs Available

- Earthquake
- Flashflood / Dam Failure
- Large Airplane Crash
- Major Hazardous Materials Accident
- Tornado
- River Flood
- CSEPP Incident

Criteria for Requesting an ISP Sponsored Plan Workshop

1. A county must have completed the conversion to the ESF format or have shown significant progress towards the completion of the conversion.
2. County should contact the County Planning Program Manager for approval and to set-up Active Planning Workshop.
3. A county must hold a facilitated Active Planning Workshop for their first Incident Specific Plan.

Requirements for ISP Concurrence

1. Incident Specific Plan must address Baseline Capabilities.
2. Incident Specific Plan must have signatories for all parties identified with roles in the Incident Specific Plan

Exceptions to Requirements to ISP Requirements

Plans with specific programmatic or legal format requirements previously defined in law or regulation. (Example: Tab-Q-7 Plan)

Support Plans

Support Plan Requirements

1. All counties will be required to develop and maintain the following disaster operations plans: Shelter Operations, POD Operations, Evacuation Operations, Debris Removal Operations, and Mass Casualty Operations.
2. All Support Plans unless otherwise directed by program or grant requirements, must be written using the Active Planning Methodology.
3. Other Support Plans such as Pandemic and Strategic National Stockpile (SNS) are encouraged to be included in the EOP as a Support Plan.
4. Counties must have shown significant progress towards completion of conversion of their EOP from the Annex/Appendices format to the ESF format and completed the major disaster ISP before they will be eligible for KyEM concurrence of a Support Plan required by KYEM.
5. Support Plans must be signed by all parties who have been tasked with a mission as part of the plan.

Requirements for Incident Specific Plan Concurrence

ISPs must have signatories for all parties identified with roles in the ISP.

Exceptions to Requirements to Incident Specific Plan Requirements

Plans with programmatic or legal format requirements previously defined in law or regulation. (Example: Strategic National Stockpile (SNS))

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