



Department of Homeland Security Office of Inspector General

DHS' Progress in Federal Incident Management Planning

(Redacted)





Homeland
Security

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Preface

The Department of Homeland Security (DHS) Office of Inspector General (OIG) was established by the *Homeland Security Act of 2002* (Public Law 107-296) by amendment to the *Inspector General Act of 1978*. This is one of a series of audit, inspection, and special reports prepared as part of our oversight responsibilities to promote economy, efficiency, and effectiveness within the department.

This report addresses DHS' efforts to develop incident management plans associated with the 15 National Planning Scenarios. It is based on interviews with employees and officials of relevant agencies and institutions, direct observations, and a review of applicable documents.

The recommendations herein have been developed to the best knowledge available to our office, and have been discussed in draft with those responsible for implementation. We trust this report will result in more effective, efficient, and economical operations. We express our appreciation to all of those who contributed to the preparation of this report.

A handwritten signature in cursive script that reads "Richard L. Skinner".

Richard L. Skinner
Inspector General

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Abbreviations

DHS	Department of Homeland Security
FEMA	Federal Emergency Management Agency
OIG	Office of Inspector General

OIG

*Department of Homeland Security
Office of Inspector General*

Executive Summary

The Department of Homeland Security is making progress preparing federal incident management plans associated with the National Planning Scenarios, but a full set of plans has not yet been completed for any of the scenarios. This is partly because of the time required to develop and implement the Integrated Planning System that guides the federal planning process.

A strategic guidance statement, strategic plan, and concept of operations plan are to be developed for each of the eight key scenario sets. Thereafter, operations plans from every department and agency with responsibilities enumerated in the concept of operations plan are due to the Domestic Readiness Group 120 days after the approval of the concept of operations plan. Thus far, five of the eight key scenario sets have approved strategic guidance statements, while four have approved strategic plans. One concept of operations plan, the Terrorist Use of Explosives, has been approved by the DHS Secretary and operations plans for this scenario were due to the Domestic Readiness Group by September 2009. A repository for federal incident management plans has been established using the Homeland Security Information Network, but access is currently limited to only federal officials.

[REDACTED] key scenario sets and established planning timelines, we project plans for all the scenarios could be completed by [REDACTED]. However, we note that the concept of operations plans for the [REDACTED] scenario is [REDACTED]. Additionally, strategic guidance statement planning for the Natural Disaster, Cyber Attack, and Pandemic Influenza scenario sets has not yet begun. Enlisting federal departments and agencies that have Emergency Support Function coordinating roles within the *National Response Framework* to lead planning efforts for specific scenarios concurrently could accelerate the completion of plans.

Background

The *National Response Framework*¹ describes planning as the cornerstone of national preparedness and a critical element to respond to a disaster or emergency. Planning provides three principal benefits: (1) it allows jurisdictions to influence the course of events in an emergency by determining in advance the actions, policies, and processes that will be followed, (2) it guides other preparedness activities, and (3) it contributes to unity of effort by providing a common blueprint for activity in the event of an emergency. Planning is a foundational element of both preparedness and response and thus is an essential homeland security activity.

The importance of incident management planning was realized during the examination of the failed federal response to Hurricane Katrina and was underscored in the subsequent White House report.² The report concluded, “Insufficient planning, training, and interagency coordination are not problems that began and ended with Hurricane Katrina. The storm demonstrated the need for greater integration and synchronization of preparedness efforts, not only throughout the Federal government, but also with the State and local governments and the private and non-profit sectors as well.”

The White House report recommended that the “Department of Homeland Security (DHS) lead an interagency effort to develop and resource a deliberative, integrated federal planning and execution system to meet the requirements of the revised *National Response Plan*.” It also put in motion a number of government actions meant to improve response planning, including the advancement of credible planning scenarios depicting the range of potential terrorist attacks, natural disasters, and related impacts facing our Nation.

Congress enacted the *Post-Katrina Emergency Management Reform Act of 2006* to address shortcomings identified in the preparation for and response to Hurricane Katrina.³ The legislation enhanced the Federal Emergency Management Agency’s (FEMA) authority and stature within DHS and charged it

¹ The *National Response Framework* replaced the *National Response Plan* in January 2008 as the guide to how the Nation conducts all-hazards response. It recognizes key lessons learned from Hurricane Katrina and focuses on how the federal government is organized to support communities and states in response to catastrophic incidents.

² The White House, *The Federal Response to Hurricane Katrina: Lessons Learned*, February 2006

³ *Post-Katrina Emergency Management Reform Act of 2006* (Public Law 109–295), October 4, 2006

with leading the Nation's efforts to prepare for, protect against, respond to, recover from, and mitigate the risk of natural disasters, acts of terrorism, and other manmade disasters, including catastrophic incidents.⁴ It also provided that the FEMA Administrator may develop, in coordination with the heads of appropriate federal agencies and the FEMA National Advisory Council, planning scenarios that reflect the relative risk requirements presented by all hazards.

DHS released the *National Preparedness Guidelines* in September 2007, as part of the effort to further advance *Homeland Security Presidential Directive-8*.⁵ The *National Preparedness Guidelines* define what it means for the Nation to be prepared for all hazards. One of the four critical elements of the *National Preparedness Guidelines* involves National Planning Scenarios, which depict a diverse set of high-consequence threat scenarios of both potential terrorist attacks and natural disasters. (See appendix C for an overview of the National Planning Scenarios.)

The 15 National Planning Scenarios were developed by the Homeland Security Council, in partnership with DHS, other federal departments and agencies, and state, local, tribal, and territorial governments. The Homeland Security Council was established by *Homeland Security Presidential Directive-1* to coordinate all homeland security-related activities and policies among executive departments and agencies.

Collectively, the scenarios are designed to focus contingency planning for homeland security preparedness work at all levels of government and with the private sector. The scenarios form the basis for coordinated federal planning, training, exercises, and grant investments needed to prepare for all types of emergencies. The Homeland Security Council compressed the 15 National Planning Scenarios into 8 key scenario sets in October 2007 to integrate planning for like events and to conduct cross-cutting capability development. Figure 1 lists the 15 National Planning Scenarios as they are presented in the *National Preparedness Guidelines*.

⁴ FEMA was an independent, Cabinet-level agency reporting directly to the President prior to becoming part of DHS in March 2003. The *Post-Katrina Emergency Management Reform Act* enhanced FEMA's authority by designating the FEMA Administrator as the principal emergency management advisor to the President and making FEMA a distinct agency within DHS.

⁵ *Homeland Security Presidential Directive-8* was issued in December 2003 and directed the DHS Secretary to develop a national domestic all-hazards preparedness goal.

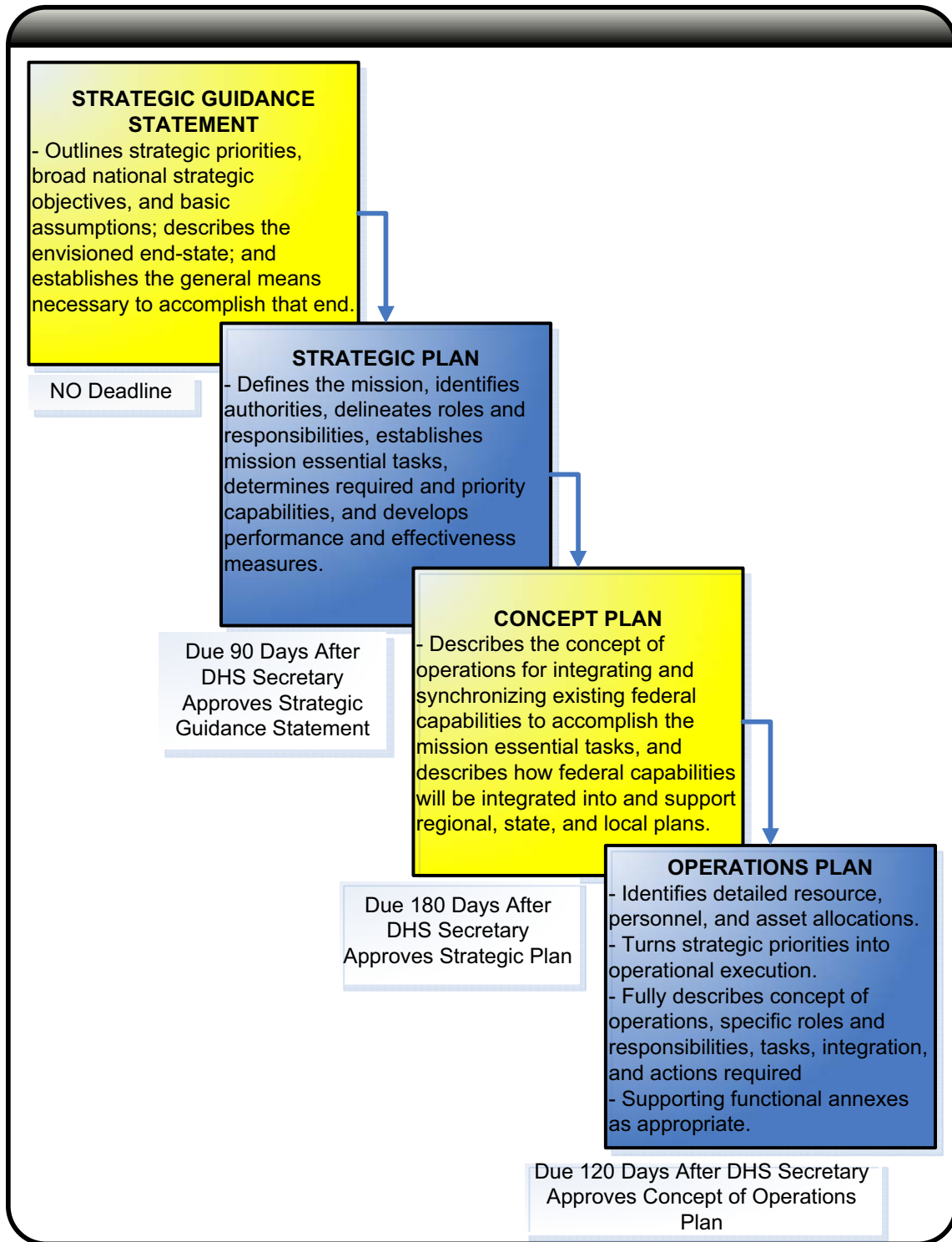
Figure 1. National Planning Scenarios

Improvised Nuclear Device	Major Earthquake
Aerosol Anthrax	Major Hurricane
Pandemic Influenza	Radiological Dispersal Device
Plague	Improvised Explosive Device ⁶
Blister Agent	Food Contamination
Toxic Industrial Chemicals	Foreign Animal Disease
Nerve Agent	Cyber Attack
Chlorine Tank Explosion	

President Bush approved *Annex 1 to Homeland Security Presidential Directive–8* in December 2007, which formally established a standard and comprehensive approach to national planning. It directed the DHS Secretary to lead the effort to develop, in coordination with the heads of federal agencies with a role in homeland security, an Integrated Planning System followed by a series of related planning documents for each national planning scenario. It also established the timelines for developing the family of plans beginning with the strategic plan. Figure 2 describes the family of incident management plans mandated by *Annex 1 to Homeland Security Presidential Directive–8*, how they relate to one another, and the timelines for developing each plan after the strategic guidance statement is finalized.

⁶ In July 2008, the Improvised Explosive Device scenario was renamed the Terrorist Use of Explosives scenario in order to align with *Homeland Security Presidential Directive–19*. Hereafter, the scenario will be referred to as the Terrorist Use of Explosives scenario.

Figure 2. Family of Federal Incident Management Plans



Source: DHS Office of Operations Coordination and Planning PowerPoint Presentation and *Annex 1 to Homeland Security Presidential Directive—8*

Results of Audit

Status of Federal Incident Management Planning

The development of federal incident management plans that address the gravest dangers facing our Nation is progressing, but a full set of plans for any single scenario has yet to be completed partly because of the time required to develop and implement the Integrated Planning System. A complete set of plans for each planning scenario includes (1) a strategic guidance statement, (2) a strategic plan, (3) a concept of operations plan, and (4) operations plans from every department and agency with responsibilities enumerated in the concept of operations plan. DHS is addressing the scenarios based on planning priorities set by the Homeland Security Council Deputies Committee and the Domestic Readiness Group, interagency policy groups chaired by White House staff.⁷

Strategic and Concept of Operations Plans

Five of the eight key scenario sets have approved strategic guidance statements and four have approved strategic plans. The concept of operations plan for the Terrorist Use of Explosives scenario was approved by the DHS Secretary in May 2009. Operations plans from federal departments and agencies with responsibilities enumerated in this plan were due to the Domestic Readiness Group by September 26, 2009. The concept of operations plan for the [REDACTED] scenario is [REDACTED] and was expected to be completed in [REDACTED]. The strategic plan for the [REDACTED] scenario is also [REDACTED], and DHS reports the [REDACTED] has been [REDACTED] due to the review currently underway regarding *Homeland Security Presidential Directive–8*. Concept of operations plans for the Biological and Radiological Attack scenarios are both expected to be completed in [REDACTED], based on the timelines established by the Integrated Planning System.

Strategic plans are to be completed 90 days after the strategic guidance statements, and concept of operations plans are to be completed 180 days after the strategic plans. Figure 3 shows the status of strategic guidance statements, strategic plans, and concept of operations plans for each of the eight key scenario sets.

⁷ The Homeland Security Council Deputies Committee serves as the senior sub-Cabinet interagency forum for policy issues affecting homeland security. The Domestic Readiness Group convenes regularly to develop and coordinate domestic preparedness, response, and incident management policy.

Figure 3. Status of Strategic and Concept of Operations Plans (As of November 2009)

Key Scenario Sets	National Planning Scenarios	Strategic Guidance Statement		Strategic Plan		Concept of Operations Plan	
		Start	Final	Start	Final	Start	Final
Explosives Attack	Terrorist Use of Explosives	3/7/2008	8/11/2008	7/8/2008	11/5/2008	10/16/2008	5/29/2009
Nuclear Attack	Improvised Nuclear Device	8/1/2008	9/26/2008	8/13/2008	1/8/2009	[REDACTED]	[REDACTED]
Biological Attack	Aerosol Anthrax	10/8/2008	1/8/2009	11/5/2008	7/20/2009	[REDACTED]	[REDACTED]
	Plague						
	Food Contamination						
	Foreign Animal Disease						
Radiological Attack	Radiological Dispersal Devices	10/29/2008	1/8/2009	11/24/2008	7/21/2009	[REDACTED]	[REDACTED]
Chemical Attack	Blister Agent	12/8/2008	6/26/2009 ⁹	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
	Toxic Industrial Chemicals						
	Nerve Agent						
	Chlorine Tank Explosion						
Natural Disaster	Major Earthquake						
	Major Hurricane					12/16/2008 ¹⁰	
Cyber Attack	Cyber Attack						
Pandemic Influenza	Pandemic Influenza						

⁸ The concept of operations plan for the Nuclear Attack scenario set is expected 180 days after the strategic plan, which was approved on January 8, 2009. FEMA began working on the concept of operations plan for this scenario in [REDACTED] prior to the approval of the strategic plan.

⁹ In response to our draft report, DHS' Office of Operations Coordination and Planning provided evidence that the strategic guidance statement for the Chemical Attack scenario set was completed on June 26, 2009, following the end of our fieldwork.

¹⁰ The Domestic Readiness Group directed FEMA in 2008 to begin developing a concept of operations plan for the Major Hurricane scenario, prior to the approval of the strategic plan, to prepare for the 2009 hurricane season.

Operations Plans

Operations plans from every department and agency with responsibilities enumerated in a concept of operations plan are due to the Domestic Readiness Group 120 days after the concept of operations plan is approved by the DHS Secretary. Federal departments and agencies can address one or more scenario sets with a general operations plan when their roles and responsibilities are the same. Operations plans are vital because they identify detailed resources, personnel, assets and specific roles, responsibilities, and actions for each federal department and agency responding to an incident or emergency. DHS Secretary Napolitano approved the Terrorist Use of Explosives concept of operations plan on May 29, 2009. Operations plans from [REDACTED] federal departments and agencies were due to the Domestic Readiness Group in September 2009. (See appendix D for a list of departments and agencies that are required to have operations plans for the Terrorist Use of Explosives scenario.)

The departments and agencies responsible for developing operations plans for the remaining scenarios are formally identified when the concept of operations plans are finalized. It is important to note that federal departments and agencies may already have operations plans for certain scenarios.¹¹ The Integrated Planning System does not require that existing operations plans be redrafted. Rather, departments and agencies with existing operations plans must ensure that the plans are compatible with the strategic and concept of operations plans developed using the Integrated Planning System.

Performance measures that include quantifiable indicators, statistics, or metrics to gauge department or agency effectiveness may be required for operations plans. For example, performance and effectiveness measures are a stated requirement in the Biological Attack scenario strategic plan. This requirement will likely mean that departments and agencies will have to review and modify operations plans developed prior to the implementation of the Integrated Planning System.

DHS officials told us that no one within DHS has been assigned the responsibility for monitoring the development of federal

¹¹ Prior to the implementation of the Integrated Planning System in June 2008 and between September 2006 and December 2007, the federal interagency community developed incident response plans for the Improvised Nuclear Device, Terrorist Use of Explosives, Pandemic Influenza, Radiological Dispersal Device, Major Hurricane, and Cyber Attack scenarios.

operations plans. However, ensuring that operations plans contain performance measures and fulfill the requirements outlined in the Integrated Planning System is important for evaluating current response capabilities. Monitoring the development of operations plans and providing guidance to facilitate interagency compliance with the Integrated Planning System, in addition to the incorporation of performance and effectiveness measures in the operations plans, would help ensure the plans address and measure desired objectives and priority capabilities for each scenario.

Launching the Integrated Planning System

The time required developing and implementing the Integrated Planning System, which guides the federal planning process, impacted the initiation of planning for the National Planning Scenarios. DHS officials told us that the planning resources required to address the Period of Heightened Alert¹² and the Southwest Border Initiative also impacted planning for the National Planning Scenarios.

The Integrated Planning System was expected to be finalized in February 2008, but President Bush did not formally approve the system until nearly a year later in January 2009. DHS began developing the Integrated Planning System in December 2007 and implemented an interim version in June 2008. DHS officials told us that bringing the federal departments and agencies together to develop and agree upon a standardized planning process and doctrine was a significant challenge and achievement.

The Period of Heightened Alert and the Southwest Border Initiative also impacted planning for the National Planning Scenarios because planning resources had to be redirected to meet the planning requisites for these initiatives. Planning for the Period of Heightened Alert began in early 2008, and the Homeland Security Council directed the federal interagency community to have significant planning completed by early July 2008. Plans were designed to ensure that the federal government was prepared to respond to any major incident during the Presidential transition period. Planning that supported the Southwest Border Initiative was designed to suppress the illegal flow of weapons and cash from the United States into Mexico and drugs and contraband from

¹² DHS designated the time period between August 1, 2008, and July 31, 2009, as a “Period of Heightened Alert” because of activities associated with the 2008 Presidential election, such as the national conventions, Election Day, the Presidential inauguration, and the Presidential transition period.

Mexico into the United States by placing more personnel and technology assets on the southwest border.

Conclusion

Federal incident management planning for the National Planning Scenarios is progressing, but much work remains to be done. The concept of operations plan for the [REDACTED] scenario is [REDACTED] and was expected to be completed in [REDACTED]. The concept of operations plan for the Biological Attack scenario is due in [REDACTED]. Moreover, planning for the concept of operations plan for the Radiological Attack scenario [REDACTED], but the plan is due in [REDACTED]. Operations plans from federal departments and agencies for the first scenario, the Terrorist Use of Explosives, were due to the Domestic Readiness Group by September 26, 2009. The requirement to include performance and effectiveness measures in the Biological Attack scenario operations plans may require departments and agencies to modify existing plans. Providing guidance on how to incorporate quantifiable performance and effectiveness measures into operations plans would help ensure that the plans contain desired objectives and identify priority capabilities.

Recommendation

We recommend that the Director for Operations Coordination and Planning:

Recommendation #1: Oversee the development of operations plans and collaborate with FEMA's Operational Planning Branch to provide guidance to federal departments and agencies to facilitate the incorporation of performance and effectiveness measures into operations plans.

Management Comments and OIG Analysis

Recommendation 1: FEMA's Office of Policy and Program Analysis concurred with this recommendation. DHS' Office for Operations Coordination and Planning explained in their response to our draft report that the Integrated Planning System is currently under review and the requirement to incorporate performance and effectiveness measures into operations plans will be addressed during the review process.

We consider this recommendation resolved because steps are being taken to implement it; however, it will remain open until evidence is provided that it has been fully implemented.

Projecting the Completion of Plans

We project that plans for all scenarios could be completed by [REDACTED] key scenario sets and established planning timelines outlined in *Annex 1 to Homeland Security Presidential Directive–8*. DHS’ Office of Operations Coordination and Planning is leading the development of strategic guidance statements and strategic plans, and FEMA’s Operational Planning Branch is leading the development of concept of operations plans. According to the *National Response Framework*, planning for the National Planning Scenarios has been accorded the highest priority. Enlisting federal departments and agencies that have Emergency Support Function coordinating roles in the *National Response Framework* to lead planning efforts for specific scenarios concurrently could accelerate the completion of plans for the remaining scenarios.

Timelines for Developing Plans

Annex 1 to Homeland Security Presidential Directive–8 establishes the timelines for developing the family of plans beginning with the strategic plan. Completing the family of plans is expected to take 390 days following the completion of the strategic guidance statement. DHS officials told us that DHS Secretary Chertoff decided that DHS’ Office of Operations Coordination and Planning would lead the development of strategic guidance statements and strategic plans, and FEMA’s Operational Planning Branch would lead the development of concept of operations plans.

Projections [REDACTED]

The average number of days between initiating strategic guidance statement planning for the first four National Planning Scenario sets was 78 days. Figure 4 illustrates the average number of days between initiating planning for the first four key scenario sets. The average time to complete the strategic guidance statements was 95 days. Figure 5 illustrates how long it took to complete each strategic guidance statement for the first four key scenario sets.

Figure 4. Average Number of Days Between Plan Initiation for Strategic Guidance Statements

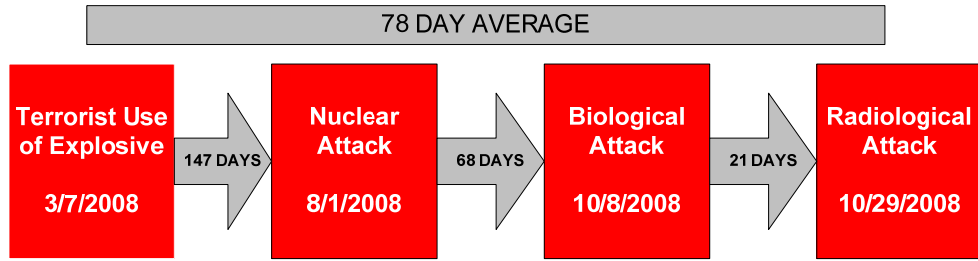
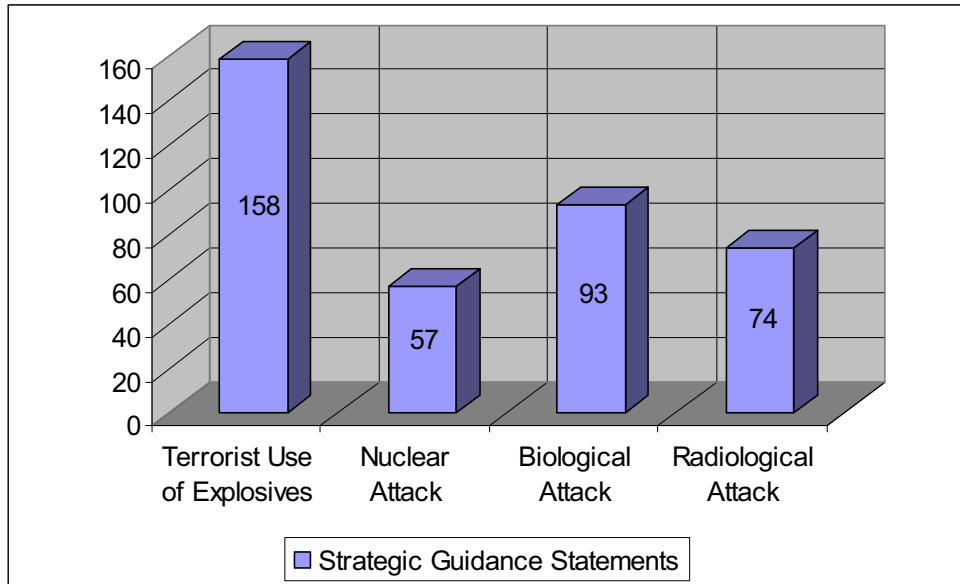


Figure 5. Number of Days to Complete Strategic Guidance Statements



[REDACTED]. Figure 6 illustrates our projections for completing all plans, which will serve as our baseline for monitoring DHS' progress towards completing federal incident management plans for the 15 National Planning Scenarios.

Figure 6. Projected Completion Dates (As of November 2009)

Key Scenario Sets	National Planning Scenarios	Strategic Guidance Statement		Strategic Plan		Concept of Operations Plan		Operations Plan		
		Start	Final	Start	Final	Start	Final	Start	Final	
Explosives Attack	Terrorist Use of Explosives	3/7/2008	8/11/2008	7/8/2008	11/5/2008	10/16/2008	5/29/2009	5/30/2009	9/26/2009	
Nuclear Attack	Improvised Nuclear Device	8/1/2008	9/26/2008	8/13/2008	1/8/2009					
Biological Attack	Aerosol Anthrax	10/8/2008	1/8/2009	11/5/2008	7/20/2009					
	Plague									
	Food Contamination									
	Foreign Animal Disease									
Radiological Attack	Radiological Dispersal Devices	10/29/2008	1/8/2009	11/24/2008	7/21/2009					
Chemical Attack	Blister Agent	12/8/2008	6/26/2009							
	Toxic Industrial Chemicals									
	Nerve Agent									
	Chlorine Tank Explosion									
Natural Disaster	Major Earthquake									
	Major Hurricane									
Cyber Attack	Cyber Attack									
Pandemic Influenza	Pandemic Influenza									
LEGEND	GREEN = PROJECTED DATES					BLACK = ACTUAL DATES				

The Interagency Planning Teams

DHS’ Office of Operations Coordination and Planning relies upon participation from the Incident Management Planning Team and interagency subject matter experts to develop the strategic guidance statement and strategic plans for each key scenario set. The Incident Management Planning Team is composed of a core group of full-time senior planners (i.e., GS-14/15 with at least a Top Secret clearance) who are detailed to DHS from other federal departments and agencies for 1-year assignments. An on-call group of pre-identified senior planners from DHS and other departments and agencies can augment the core staff when necessary. (See appendix E for a list of departments and agencies that are participating members of the Incident Management Planning Team.)

FEMA's Operational Planning Branch also relies upon participation from a federal interagency planning team, but representatives who support FEMA planning efforts are not detailed to FEMA. FEMA develops the concept of operations plans for each scenario set through planning conferences that include interagency representatives and contractors who facilitate the planning process or provide subject matter expertise.

The Domestic Readiness Group set a planning goal that five strategic guidance statements and four strategic plans be completed by January 20, 2009. DHS and interagency officials told us the demands placed on the planning teams to reach this goal were tremendous. Planners were required to work on multiple plans at the same time, and they often had to choose between incident management planning meetings that were scheduled concurrently. DHS officials told us that efforts are ongoing to address the shortage of federal planners, and more than 1,000 people from multiple departments and agencies have been successfully trained on national planning by the Incident Management Planning Team since 2006.

Accelerating the Completion of Scenario Plans

The *National Response Framework* underscores that planning for the National Planning Scenarios has been accorded the highest priority. It also describes Emergency Support Function coordinating agencies as having ongoing responsibilities throughout the preparedness, response, and recovery phases of incident management to include pre-incident planning and coordination. Enlisting federal departments and agencies that have Emergency Support Function coordinating roles to lead planning for the National Planning Scenarios could accelerate the completion of plans for the remaining scenarios because planning could be conducted concurrently. Figure 7 lists the remaining planning scenarios along with the Emergency Support Function coordinating agency for that scenario.

Figure 7. Coordinating Agencies

Key Scenario Sets	National Planning Scenarios	Lead Agencies
Radiological Attack	Radiological Dispersal Devices	DHS
Chemical Attack	Blister Agent	Environmental Protection Agency
	Toxic Industrial Chemicals	
	Nerve Agent	
	Chlorine Tank Explosion	
Natural Disaster	Major Earthquake	FEMA
	Major Hurricane	
Cyber Attack	Cyber Attack	White House
Pandemic Influenza	Pandemic Influenza	Health and Human Services

DHS is the coordinating department for all deliberate attacks involving nuclear or radiological facilities or materials, including improvised nuclear devices and radiological dispersal devices. DHS, acting through FEMA, is also the coordinating department for response to natural disasters.

The Environmental Protection Agency is the Emergency Support Function coordinating agency for oil and hazardous materials response, which includes accidentally or intentionally released chemical substances. As such, this agency is well positioned to lead planning efforts associated with the remaining Chemical Attack scenario plans.

A recent White House review of cyberspace policy determined that no single federal department or agency has a broad enough perspective or authority to address the cybersecurity risks, which pose some of the most serious economic and national security challenges of the 21st century.¹³ The review recommended that the President appoint a White House cybersecurity policy official to coordinate national cybersecurity policies and activities. The goal is to develop a clear and authoritative cyber incident response framework documented in a revised Cyber Incident Annex for the *National Response Framework*.

The Department of Health and Human Services is the federal government’s primary agency for the public health and medical

¹³ The White House, *Cyberspace Policy Review: Assuring a Trusted and Resilient Information and Communications Infrastructure*, May 2009

preparation, planning, and response to a biological terrorism attack or incident. It has already taken steps to coordinate national planning for the Pandemic Influenza scenario by leading two interagency assessments of states' Pandemic Influenza plans. Because of its role as the primary agency for planning and responding to biological scenarios and its previous efforts to coordinate national planning, the Department of Health and Human Services could lead the development of federal incident management plans for the Pandemic Influenza scenario.

Conclusion

We project that planning for all the scenarios could be completed by [REDACTED] key scenario sets and established planning timelines. However, we note that DHS has not begun strategic guidance statement planning for the Natural Disaster and Cyber Attack scenario sets, which we projected should have been initiated months ago. The *National Response Framework* characterizes planning for the National Planning Scenarios as a high priority. Enlisting the Environmental Protection Agency, the White House, and the Department of Health and Human Services to lead planning efforts concurrently for the remaining scenarios could accelerate the completion of plans for the Chemical Attack, Cyber Attack, and Pandemic Influenza scenarios.

Recommendation

We recommend that the Director for Operations Coordination and Planning and the Chief of FEMA's Operational Planning Branch:

Recommendation #2: Enlist and resource, as appropriate, federal departments and agencies that have coordinating roles for the Chemical Attack, Cyber Attack, and Pandemic Influenza scenarios, in order to pursue planning efforts for each scenario concurrently.

Management Comments and OIG Analysis

Recommendation 2: FEMA's Office of Policy and Program Analysis concurred with this recommendation. DHS' Office for Operations Coordination and Planning explained in their response that a discussion on further increasing the roles and the planning capabilities of their interagency partners is an integral component

of the Quadrennial Homeland Security Review and the review of *Homeland Security Presidential Directive–8*. Additionally, planning has been put on hold since July 2009 due to the review of *Homeland Security Presidential Directive–8*, delaying the development of the Chemical Attack strategic plan and the Natural Disaster strategic guidance statement.

We consider this recommendation resolved because steps are being taken to implement it; however, it will remain open until evidence is provided that it has been fully implemented.

The Federal Incident Management Plan Repository

A repository for federal incident management plans was established in March 2009 using the Homeland Security Information Network. The purpose of the repository is to increase federal visibility, coordination, interoperability, and information sharing at the operational level. All unclassified federal plans relating to the National Planning Scenarios are to be placed in the repository, and classified plans will be maintained separately in the Homeland Security Data Network. Access to the repository is currently limited to federal officials with a role in homeland security.

Establishing the Repository

A DHS Office of Operations Coordination and Planning official told us that the Domestic Readiness Group tasked their office in February 2009 with establishing a repository for federal incident management plans. The Homeland Security Information Network was chosen as the platform to establish the repository in March 2009. The Homeland Security Information Network is a virtual platform that enables sensitive but unclassified information sharing and collaboration among homeland security stakeholders, including federal, state, and local government representatives. The repository is expected to help address a key finding in the White House report about the federal response to Hurricane Katrina: “At the most fundamental level, part of the explanation for why the response to Katrina did not go as planned is that key decision-makers at all levels simply were not familiar with the plans.”

The purpose of the repository is to enhance the effectiveness of operations to prevent, protect against, respond to, and recover from attacks and disasters. The overall goal is to achieve a coordinated approach to planning for major emergencies, disasters, and

catastrophes, and to identify response capabilities and conduct exercises. When fully populated, the repository is anticipated to contain more than 250 federal incident management plans relating to the 15 National Planning Scenarios.

The repository will include all unclassified federal strategic and concept of operations plans associated with the National Planning Scenarios, as well as operations plans from federal departments and agencies that have a role in homeland security. The decision as to whether operations plans are added to the Homeland Security Information Network is at the discretion of the department or agency that prepared the plan. Classified plans are to be maintained separately on the Homeland Security Data Network. The Homeland Security Data Network is a classified wide-area network for DHS and its components, with specific and controlled interconnections to federal agencies that are involved in homeland security.

According to the repository's standard operating procedures, operations plans are reviewed by the interagency to identify best practices, seams, gaps, and overlaps. Issues involving discrepancies or shortfalls in operations plans will be resolved by a work group established by the Domestic Readiness Group and chaired by a National Security Council staff member. The Integrated Planning System provides that the DHS Secretary will also review operations plans to identify gaps and seams, enhance unity of effort, and link plans to exercises. This is important because the DHS Secretary serves as the principal federal official for domestic incident management and is responsible for coordinating the federal government's resources in operations responding to terrorist attacks and major disasters.

Access and Participation

Access to the repository is currently limited to select federal officials and controlled by the Domestic Readiness Group. Federal departments and agencies involved in federal incident management planning may designate up to five individuals for access to the repository, and access will be provided by DHS once approved by the Domestic Readiness Group. Currently, state, tribal, and local government officials do not have access or provide plans to the repository although they may have access to other areas of the Homeland Security Information Network. Expanding access and stakeholder participation in the repository is important because a key lesson learned from the federal response to Hurricane Katrina

is that integrating and synchronizing federal policies, strategies, and plans among all federal, state, local, private sector, and community efforts is imperative for a coordinated response.

Conclusion

A repository for federal incident management plans has been established using the Homeland Security Information Network, but access is currently limited to only federal officials. The repository can serve as the platform to help construct a unified homeland security system that advances national preparedness, but appropriate access and participation among all homeland security stakeholders, including state, tribal, and local government officials, and the private sector, needs to be expanded.

Recommendation

We recommend that the Director for Operations Coordination and Planning:

Recommendation #3: Develop procedures and protocols for expanding access to the federal incident management plan repository to all appropriate homeland security stakeholders, including state, tribal, and local governments, and the private sector.

Management Comments and OIG Analysis

Recommendation 3: FEMA's Office of Policy and Program Analysis concurred with this recommendation, and DHS' Office for Operations Coordination and Planning is currently in the process of increasing membership to the federal incident management plan repository to include all appropriate homeland security stakeholders.

We consider this recommendation resolved because initial steps are being taken to implement it. However, it will remain open until evidence is provided that it has been fully implemented.

Appendix A

Purpose, Scope, and Methodology

The objectives of our audit were to (1) determine to what extent the planning requisites mandated by *Annex 1 to Homeland Security Presidential Directive–8* have been fulfilled, and (2) develop a baseline to measure progress in developing the federal incident management plans that align with the National Planning Scenarios.

We conducted 18 interviews with DHS, FEMA, and interagency officials, and examined documentation relating to federal planning, including authorizing legislation and Presidential directives such as the Integrated Planning System; federal incident management plans; internal and external DHS communications; the *Post-Katrina Emergency Management Reform Act of 2006*; the *National Response Framework* and Incident Annexes; *Annex 1 of Homeland Security Presidential Directive–8*; and *Homeland Security Planning Directive–5*. We also reviewed reports on various aspects of federal planning for the national planning scenarios prepared by the U.S. Government Accountability Office.

We did not evaluate the utility of the finalized federal incident management plans or the efficacy of the Homeland Security Information Network and the Homeland Security Data Network. We were also unable to verify the start dates provided to us by DHS for all of the strategic guidance statements and the strategic plans relating to the Radiological Attack and Biological Attack scenarios.

We acknowledge the cooperation and courtesies extended to our audit team during this audit. We conducted this performance audit between October 2008 and May 2009 – we also updated information contained in the report as of November 2009 – under the authority of the *Inspector General Act of 1978*, as amended, and in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.


Appendix B
Management Comments to the Draft Report

U.S. Department of Homeland Security
500 C Street, SW
Washington, DC 20472



FEMA

MEMORANDUM FOR: Matt Jadacki
Deputy Inspector General
Office of Emergency Management Oversight
Office of Inspector General

FROM: David J. Kaufman 
Director
Office of Policy and Program Analysis

SUBJECT: Federal Emergency Management Agency's (FEMA's)
Response to Office of Inspector General (OIG) Report on
DHS Progress in Federal Incident Management Planning

FEMA has reviewed the subject report. We concur with the recommendations and have no further comments.

Please contact Brad Shefka, Chief, FEMA GAO/OIG Liaison, at 202-646-1308 if you have any questions or concerns.

www.fema.gov

Appendix B
Management Comments to the Draft Report

Office of Operations Coordination
and Planning
U.S. Department of Homeland Security
Washington, DC 20528



**Homeland
Security**

NOV 06 2009

MEMORANDUM FOR: Matt Jadacki
Deputy Inspector General

FROM: John C. Acton *John C. Acton 6/11/09*
Director of Operations Coordination and Planning

SUBJECT: Inspector General Report on "DHS' Progress in Federal Incident Management Planning" Response

BACKGROUND:

The Office of Operations Coordination and Planning (OPS) Plans Division appreciates the opportunity to comment on the draft DHS Office of Inspector General (OIG) Report on "DHS' Progress in Federal Incident Management Planning."

The mission of OPS is to integrate departmental- and strategic-level interagency planning and operations coordination in order to prevent, protect, respond to, and recover from terrorist threats/attacks or natural disasters. OPS, facilitates the development of Federal strategic plans and operations plans in accordance with the process described in the Integrated Planning System.

OPS, in collaboration with the Domestic Readiness Group, has endorsed the Incident Management Planning Team (IMPT) since August 21, 2006. The IMPT provides a unified interagency planning effort for incidents requiring a coordinated national response. The IMPT also supports the development of strategic guidance, concepts, plans, and plan refinement leading to publication of a series of plans for actual or potential domestic incidents.

In order to fully represent the entirety of its planning efforts, OPS would like to provide the following comments on the OIG draft report.

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Appendix B Management Comments to the Draft Report

DISCUSSION:

OIG Recommendation #1. *Oversee the development of interagency operations plans and collaborate with FEMA's Operational Planning Branch and provide guidance to federal department and agencies to facilitate the incorporation of performance and effectiveness measures into operational plans.*

The Integrated Planning System (IPS) is currently under a review process that will address the need to require operations plans to incorporate performance and effectiveness measures. At this time, the IPS does not require operations plans to address performance and effectiveness measures.

Operations plans are department- and agency-specific and are not interagency plans. There is currently no authority or statute that requires Federal departments and agencies to coordinate their operations plans with DHS or any other department/agency.

OIG Recommendation #2. *Enlist and resource, as appropriate, federal departments and agencies that have coordinating roles for the Chemical Attack, Cyber Attack, and Pandemic Influenza scenarios, in order to pursue planning efforts for each scenario concurrently.*

Through the Incident Management Planning Team (IMPT), OPS enlists interagency detailees and subject matter experts from Federal departments and agencies with a role in homeland security. From the beginning of plan development, our interagency partners within the IMPT are invited to participate to ensure their interests are strongly represented.

However, there are a limited number of planners available in Federal agencies with Emergency Support Function coordinating roles for chemical, cyber, and pandemic influenza scenarios. A discussion on further increasing the roles and the planning capabilities of our interagency partners is an integral component of the Quadrennial Homeland Security Review and the Homeland Security Presidential Directive 8 (HSPD-8) review.

OIG Recommendation #3. *Develop procedures and protocols for expanding access to the federal incident management plan repository to all appropriate homeland security stakeholders, including state, tribal and local governments and the private sector.*

OPS is currently in the process of increasing membership to the Federal incident management plan repository to include all appropriate homeland security stakeholders.

ADDITIONAL COMMENTS:

In addition to the above review of the recommendations within this report, OPS notes that some documentation be updated, such as times, dates, and authorities. OPS requests that these portions of the document be revised and suggests these revisions may influence one or more recommendations. Attached to this memo is a comment matrix for your consideration.

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Appendix B

Management Comments to the Draft Report

It is also worth noting that planning has been put on hold since July 2009 due to an HSPD-8 Review by the Domestic Readiness Group and the National Security Council. This has resulted in a delay in the development of the Chemical Strategic Plan and the Natural Disaster Strategic Guidance Statement.

Enclosures:

- Attachment 1 – A Previous Plan Development Timeline**
- Attachment 2 – A Comment Matrix**

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Appendix C

Overview of the National Planning Scenarios

Scenario 1: Nuclear Detonation – Improvised Nuclear Device

- Members of a terrorist organization have detonated a 10-kiloton improvised nuclear device in a heavily populated metropolitan area. The initial detonation causes total infrastructure damage in a 3-mile radius and various levels of radiation spanning out 3,000 square miles. As casualties climb in excess of several hundred thousand, hundreds of thousands of survivors either shelter in place or are forced onto the city's transportation system to seek shelter in safe areas or evacuate the city. The city is now facing hundreds of billions of dollars in damage and a recovery effort that will take years.

Scenario 2: Biological Attack – Aerosol Anthrax

- Two individuals release 100 liters of aerosolized anthrax into the air of a major metropolitan city. More than 330,000 people are exposed to the anthrax spores. Casualties and injuries resulting from the inhaled anthrax and subsequent infection reach upwards of 13,000 people. The economic costs associated with the closure and decontamination of affected areas may run in the billions of dollars, and the city will likely face a recovery effort that will take months.

Scenario 3: Biological Disease Outbreak – Pandemic Influenza

- A new strain of avian influenza has spread to the United States. Estimates predict that fatalities could range anywhere between 209,000 and 1.9 million people, with an even greater number requiring hospitalization. Hospital bills alone could reach upwards of \$180 billion.

Scenario 4: Biological Attack – Pneumonic Plague

- Members of a terrorist organization manufacture the causative agent of plague and disseminate it in several metropolitan areas using biological warfare dissemination devices. Approximately 36 hours after release, patients begin showing up at hospitals with rapidly progressing and severe respiratory illnesses. Estimates predict that fatalities could range upwards of 9,500 people with approximately 28,383 people becoming ill. As word gets out that pneumonic plague is spreading, hospitals will see an influx of people crowding into emergency rooms, possibly creating a shortage of available beds.

Scenario 5: Chemical Attack – Blister Agent

- Members of a terrorist organization use a lightweight aircraft to spray Agent Yellow, which is a mixture of two blister agents that can cause permanent damage to the respiratory system if inhaled and severe burns to the eyes or skin, into a crowded college football stadium. Thousands are injured and many are killed as people flee from the contaminated stadium. Additional injuries and fatalities will occur as a result of contact with the blister agent. Tens of thousands of people will need decontamination, as well as both short-term and long-term care.

Appendix C

Overview of the National Planning Scenarios

Scenario 6: Chemical Attack – Toxic Industrial Chemicals

- Sleeper cells of a domestic terrorist organization have launched a multiphase attack at a port and a nearby petroleum refinery. Utilizing vehicle-borne improvised explosive devices, the terrorists target a U.S. Coast Guard facility and two container ships containing hazardous material. The terrorists initiate the second phase of the attack by launching rocket-propelled grenades into the center of the petroleum refinery. Several hundred people are killed, thousands are injured, and thousands more are forced to evacuate or shelter in place as a result of the explosions, fires, and vapor plume. Recovery efforts will likely take months and the economic impact will likely be in the billions.

Scenario 7: Chemical Attack – Nerve Agent

- Members of a terrorist organization have acquired the nerve agent sarin and have released it into the ventilation system of a large office building in a metropolitan area. The agent quickly kills 95% of the building's 6,000 occupants. Even more injuries and deaths occur as first responders arrive on the scene unaware of the current conditions. As the nerve agent escapes the building, almost 50,000 people located in adjacent buildings are forced to shelter in place. Recovery time will likely be 3 to 4 months, with the total economic impact reaching upwards of \$300 million.

Scenario 8: Chemical Attack – Chlorine Tank Explosion

- Members of a terrorist organization have detonated an explosive device on a 60,000-gallon storage tank filled with liquefied chlorine gas. The terrorists have also planted improvised explosive devices, set to detonate at varying intervals, close to the tank in order to harm emergency responders. Within an hour, there are almost 10,000 people crowding into emergency rooms with severe respiratory difficulties. As the gas continues to move downwind, as many as 35,000 people, or 5% of those in the affected area, are exposed to potentially lethal doses of chlorine gas. Recovery will take several weeks and likely cost millions of dollars.

Scenario 9: Natural Disaster – Major Earthquake

- A major metropolitan area, with a population of almost 10 million people, experiences a 7.5 magnitude earthquake followed shortly by an 8.0 magnitude earthquake. In the area within 25 miles of the fault, many homes and buildings are completely destroyed. Approximately 1,400 people are killed, 100,000 more are crowding into hospital emergency rooms, and an intense search and rescue for an estimated 20,000 people has been launched. Recovery efforts are expected to range from several months to several years, and the estimated total economic impact is projected to be in the billions.

Appendix C

Overview of the National Planning Scenarios

Scenario 10: Natural Disaster – Major Hurricane

- A category 5 hurricane, with sustained wind speeds in excess of 160 miles per hour and a storm surge 20 feet higher than normal, makes landfall at a major metropolitan area. The storm surge, heavy winds, and subsequent tornados spawned by the hurricane cause destruction to nearly 200,000 homes and result in nearly 1,000 fatalities. With such a wide path of destruction, recovery from the hurricane will likely take several months to a couple of years with the total economic impact reaching into the billions.

Scenario 11: Radiological Attack – Radiological Dispersal Devices

- Members of a terrorist organization have manufactured and detonated a radiological dispersal device or a “dirty bomb” in three regionally close, moderate to large cities. Each explosion causes significant damage to many of the buildings and structures in the immediate area of the blast. At each site, there are approximately 180 deaths and upwards of 20,000 detectable contaminations. Recovery efforts will likely take several months to a couple of years. Total economic loss will be in the billions of dollars.

Scenario 12: Explosives Attack – Terrorist Use of Explosives

- Members of a terrorist organization have carried out a multipronged attack using improvised explosive devices at a large urban entertainment/sports venue. Three suicide bombers detonated their devices, killing and injuring some people and sending the rest of the large crowd in a frantic rush to the exits, where they are met by the detonation of a large vehicle bomb. Similar detonations also occur near a crowded public transportation concourse, a parking lot, and inside the lobby of the nearest hospital emergency room. The explosions combine to cause millions of dollars in damage and to kill approximately 100 people. Recovery efforts will take weeks.

Scenario 13: Biological Attack – Food Contamination

- A member of a terrorist organization, who works at a meat processing plant on the West Coast, contaminates the meat with anthrax. Two contaminated batches of ground beef were sent to two different states. In a 10-day span, hospitals on the West Coast begin to see a sudden influx of people with gastrointestinal problems. Upwards of 1,800 have become ill and there have been 500 fatalities. Recovery efforts to address contamination sites and provide for those who have become ill will take millions of dollars and likely last for several weeks.

Scenario 14: Biological Attack – Foreign Animal Disease

- Members of a terrorist organization have launched a biological attack on the agricultural industry by infecting livestock at various transportation sites with a foreign animal disease. Farmers in several states quickly realize that many of their animals are ill. As it is realized that a foreign animal disease is spreading, recovery efforts will likely take weeks and require hundreds of millions of dollars to diagnose, quarantine, destroy, and dispose of livestock herds.

Appendix C

Overview of the National Planning Scenarios

Scenario 15: Cyber Attack

- Members of a terrorist organization launch a cyber attack against critical infrastructures that rely on the Internet. Service disruptions occur across many sectors and there is a general fear that there will be a loss of confidence in the Internet and the services it provides. Recovery efforts will likely take months and cost upwards of several hundred million dollars.

Appendix D
Federal Interagency Providing Operations Plans for Scenario 12

National Planning Scenario	Department or Agency	Final
Terrorist Use of Explosives		

Appendix E
Incident Management Planning Team

Core Full-Time Members	On-Call Members
<ul style="list-style-type: none"> • DHS, Chair • Department of Defense • Department of Justice <ul style="list-style-type: none"> ◦ Federal Bureau of Investigation • Department of Health and Human Services • Department of Transportation • Department of Energy • Environmental Protection Agency • American Red Cross 	<ul style="list-style-type: none"> • Department of State • Department of Treasury • Department of Commerce • Department of the Interior • Department of Agriculture • Department of Labor • Department of Housing and Urban Development • Department of Education • Department of Veterans Affairs • Federal Communications Commission • General Services Administration • National Aeronautics and Space Administration • Nuclear Regulatory Commission • Office of the Director of National Intelligence • Office of Personnel Management • Small Business Administration • United States Postal Service • White House Office of Science and Technology Policy

Source: Charter for the Incident Management Planning Team, August 21, 2006

Appendix F
Major Contributors to This Report

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Appendix G
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Office of Management and Budget

Chief, Homeland Security Branch
DHS OIG Budget Examiner

Congress

Congressional Oversight and Appropriations Committee, as appropriate



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Attention: Office of Investigations - Hotline,
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Washington, DC 20528.

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