

19. Planning

Summary

Planning involves the proactive coordination of activities in the medium to long term, with the intention of achieving a unified effort towards a common objective.

Planning consists of three main elements:

- ♦ **Business continuity planning** is the process of developing procedures that guide organisations to respond, recover, resume, and restore to a pre-determined level of operation following disruption.
- ♦ **Emergency management planning** outlines arrangements for managing the response to and recovery from an emergency.
- ♦ **Response planning** is conducted during or immediately before an emergency, to coordinate the response to a specific hazard(s) and the resulting consequences.

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19.1 Introduction

Part 7 Readiness Planning

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Effective management of emergencies is dependent upon all agencies having undertaken sufficient planning and readiness activities for both business continuity and their operational roles in response and recovery.

Principles

The principles of planning are:

- ◆ **Planning must involve all partners:** plans should consider and incorporate the perspectives of all agencies involved in responding to, or recovering from, an emergency. Effective planning should promote frequent interaction among stakeholders, and provide measures to synchronise actions. This ensures that planning arrangements are representative, realistic, and recognised by all partners.
- ◆ **Wherever possible, planning should address all hazards:** New Zealand faces a wide range of hazards; the hazards may change, but consequences of emergencies are generally similar. The most effective plans are consequence-based, flexible, and adaptable to the situation at hand.
- ◆ **Planning should follow an evidence-based, analytical, problem-solving process:** by following a set of logical steps that includes gathering and analysing information, determining objectives, and developing courses of action to achieve those objectives, agencies will equip themselves with a basis for responding to complex situations.
- ◆ **Planning describes the anticipated environment:** planning provides the opportunity to anticipate actions and systematically identify potential problems and workable solutions.
- ◆ **Planning outlines roles and responsibilities:** planning identifies objectives and tasks, allocates resources to accomplish those tasks, and establishes accountability.
- ◆ **Planning provides a means for coordination, integration, and synchronisation:** effective operational plans are synchronised in time, space, and purpose.
- ◆ **Planning is fundamentally a risk management tool:** planning identifies and analyses hazards and risks, and considers reduction, readiness, response, and recovery activities to reduce or address the effects of those risks. Planning consults communities about risks, communicates acceptable levels of risks, and monitors and reviews the effectiveness of arrangements to address risks.

19.2 Business continuity planning

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- (1) *Under sections 58, 60, and 64 of the Act, each government department, lifeline utility, and local authority is required to—*
 - (a) *undertake planning activities to ensure that it is able to function to the fullest possible extent (even though this may be at a reduced level) during and after an emergency, having particular regard to its roles and responsibilities under this plan; and*
 - (b) *make available to the Director in writing, on request, its plan for functioning during and after an emergency.*
- (2) *All other agencies with roles and responsibilities under this plan should also undertake business continuity planning to ensure their ability to carry out their roles and responsibilities during response and recovery.*
- (3) *Avoiding, mitigating, or remedying the risks of business interruption in emergencies (including loss of interdependent services and operations) should be undertaken as part of continuing risk management within normal business processes.*
- (4) *Each agency should have plans and strategies for continuing its critical business processes and providing capacity for undertaking its response and recovery responsibilities in this plan.*

Business continuity	Business continuity means the capability of an organisation to continue the delivery of its products or services at acceptable, pre-defined levels following a disruptive incident.
Business continuity management	<p>Business continuity management is a holistic process that identifies potential threats to an agency, and the impacts to the agency's operations those threats, if realised, might cause.</p> <p>It provides a framework for improving organisational resilience to any potential disruption by identifying and protecting essential activities and resources of the agency, and building capability to effectively respond to and recover from a disruptive incident.</p>
Requirement for business continuity management	<p>Business continuity management is a central part of organisational resilience; it must be owned by the agencies' senior management. Every opportunity must be taken to promote and embed business continuity management practices.</p> <p>All government departments, local authorities, and lifeline utilities are required to establish a business continuity management programme to provide for the continued availability of essential activities and resources. Business continuity planning should be additional to (although aligned with) any operational plans for CDEM response and recovery.</p> <p>Departments, agencies, authorities, and lifeline utilities covered by the <i>National CDEM Plan 2015</i> are required to make their plans available to the Director of CDEM on request.</p>
Components of business continuity planning	<p>Business continuity planning should address the following:</p> <ul style="list-style-type: none"> ♦ a business impact analysis process that identifies and considers the essential activities of an agency, and the impact that a disruption might have on them over time, including: <ul style="list-style-type: none"> – consideration of interdependencies and outsourced services or arrangements – identification and protection of the resources (e.g. people, skills, premises, equipment, information, technology, and suppliers) which support the delivery of the essential activities of the agency ♦ protection of both internal and external service capability, including those in support of CDEM-critical activities (e.g. emergency services and medical facilities), and ♦ development of resilient solutions or adaptive capacity to manage disruption to normal business operations and recovery issues. <p>Continuity arrangements must be developed across an entire agency, through a process of business impact analysis, planning, exercising, training, and ongoing review and continuous improvement. It must be led by executive management, to ensure business continuity has the required authority to become embedded in normal business. Business continuity management will only be effective if developed cooperatively with all business stakeholders, so that roles and responsibilities are clearly understood and assumptions validated.</p>

19.3 Emergency management planning

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Each agency with roles and responsibilities under this plan should—

- (a) undertake activities to identify hazards and understand risks; and*
- (b) take a risk-based approach to planning; and*
- (c) develop and maintain current emergency management plans that describe how the agency is to carry out its roles and responsibilities, including—*
 - (i) each aspect of its activities across the 4 Rs; and*
 - (ii) co-ordination with other agencies..*

All CDEM agencies should prepare plans that outline their arrangements for contributing to response and recovery. For the purposes of this Guide, emergency management planning refers to agencies developing:

- ♦ structures that enable an agency to carry out its roles and responsibilities during response and recovery
- ♦ procedures and systems that enable it to perform its required responsibilities
- ♦ activation triggers and levels of response (including deactivation criteria), and
- ♦ communication protocols.

These arrangements should be aligned with the *National Security System* (available at www.dpmc.govt.nz – search for 'national security system'), and other stakeholder agencies. They should be integrated across all response levels and be capable of coordinating with lead and support agencies.

Emergency management planning provides a methodical way to think through and develop arrangements for addressing every stage of an emergency. It describes a desired outcome, outlines effective ways for achieving it, and communicates expectations of all response and recovery partners.

Emergency management planning takes place at local, regional, and national levels, and across agencies and sectors. It is essential that plans are coordinated horizontally and integrated vertically so that a common operational focus can be achieved.

Lead agencies

Lead agencies must ensure that they are able to incorporate support agency objectives, personnel and resources into any response they lead. Emergency management planning by lead agencies must include support agencies to ensure that the response arrangements are cohesive and coordinated.

Planning is more than 'a plan'

Comprehensive emergency management planning should not stop with a plan. It must also address the capacity and capability required to implement the plan, and contribute to a programme to systematically increase the organisational and community readiness needed for responding to and recovering from emergencies. This is accomplished through:

- ♦ capability development (see section 20, Capability development)
- ♦ exercising and testing (see section 21 Exercising and testing), and
- ♦ public education and community engagement (see section 23, Public education and community engagement).

Coordinated Incident Management System (CIMS)

Emergency management planning should take account of established CDEM structures and management systems documented in CIMS. These are designed to coordinate agencies in their response to emergencies.

See Section 24, Response for more information.

19.4 Response planning

Response planning is planning that occurs immediately before or during an emergency. It is concerned with coordinating lead and support agency actions to address the specific consequences and characteristics of that emergency.

Response planning should cover:

- ♦ the objectives for the response, including an end state/success criteria
- ♦ a concept describing how the response will proceed, from starting state to end state
- ♦ specific response tasks for responding agencies
- ♦ coordinating arrangements for the response
- ♦ response structure and communications lines for responding agencies, and
- ♦ resourcing and financial arrangements.

Planning process The *Response Planning Director's Guideline [DGL 19/15]* provides a planning methodology for CDEM agencies to use when planning for specific actions during an emergency. This is based on and consistent with the 'Planning P' described in the *Coordinated Incident Management System (CIMS) Manual, 2nd Edition*. See Section 24, Response for more information.

19.5 References and links

Other sections of the Guide

- ♦ Section 4, General roles and responsibilities
- ♦ Section 5, Ministry of Civil Defence & Emergency Management (MCDEM)
- ♦ Section 6, Civil Defence Emergency Management Groups (CDEM Groups)
- ♦ Section 18, Readiness
- ♦ Section 20, Capability development
- ♦ Section 21, Exercising and testing
- ♦ Section 23, Public education and community engagement
- ♦ Section 24, Response

Other documents

- ♦ Ministry for Civil Defence & Emergency Management (2015) *Response Planning Director's Guideline DGL [19/15]* ISBN 978-0-478-43512-2 (www.civildefence.govt.nz – search for 'response planning')
- ♦ Officials' Committee for Domestic and External Security Coordination (2014) *New Zealand Coordinated Incident Management System (CIMS) 2nd Edition*; ISBN 978-0-478-43500-9 (www.civildefence.govt.nz – search for 'CIMS')
- ♦ *ISO 22301:2012 Societal Security – Business Continuity Management Systems – Requirements* (www.iso.org – search for '22301')
- ♦ Business Continuity Institute (2013) *Good Practice Guidelines 2013* (www.thebci.org – search for 'GPG')

