National Mitigation Framework

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U.S. DEPARTMENT OF HOMELAND SECURITY

Homeland
Security

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43 # Introduction

44 *Presidential Policy Directive 8 (PPD-8), National Preparedness,* was released in March 2011 with
45 the goal of strengthening the security and resilience of the United States through systematic
46 preparation for the threats that pose the greatest risk to the security of the Nation. PPD-8 defines five
47 mission areas—Prevention, Protection, Mitigation, Response, and Recovery—and mandates the
48 development of a series of policy and planning documents to explain and guide the Nation's
49 approach to ensuring and enhancing national preparedness. This National Mitigation Framework,
50 part of the National Preparedness System, sets the strategy and doctrine for building, sustaining, and
51 delivering the core capabilities for mitigation identified in the National Preparedness Goal.

52 **Prevention:** The capabilities necessary to avoid, prevent, or stop a threatened or actual
53 act of terrorism. As defined by PPD-8, the term "prevention" refers to preventing imminent
54 threats.

55 **Protection:** The capabilities necessary to secure the homeland against acts of terrorism
56 and man-made or natural disasters.

57 **Mitigation:** The capabilities necessary to reduce loss of life and property by lessening
58 the impact of disasters.

59 **Response:** The capabilities necessary to save lives, protect property and the
60 environment, and meet basic human needs after an incident has occurred.

61 **Recovery:** The capabilities necessary to assist communities affected by an incident to
62 recover effectively.

63 ## *Framework Purpose and Organization*

64 This Framework describes the role and resilience of individuals, non-profit entities and non-
65 governmental organizations, the private sector, communities, critical infrastructure, governments,
66 and the Nation as a whole as related to mitigation. While businesses make money by taking risks,
67 they lose money by failing to effectively manage those risks. Similarly in the public sector, choices
68 are made every day that affect the consequences, duration, and costs of responding to and recovering
69 from adverse incidents. Mitigation requires systemically anticipating and adjusting to trends that
70 could endanger the future of the community. Appropriate choices made beforehand can manage or
71 reduce long-term risk and potentially reduce response requirements. Mitigation during the recovery
72 phase helps strengthen and build a more resilient community to withstand future disasters.

73 Building on long-held American values of civic engagement, the Nation must engage in an ongoing
74 dialogue about how we prepare for our future. Demonstrating clear and measurable returns on
75 investment through mitigation is essential in that dialogue and necessary to build a resilient, risk-
76 conscious culture. A mature, risk-conscious culture is ultimately measured by its reduction in loss of
77 life and whether it has sufficient capacity to continue to promote the economic, ecological, and social
78 vitality of the community when adapting to changing conditions or recovering from an adverse
79 incident.

80 Building on existing structures and capabilities, this Framework outlines how the Nation can expand
81 its commitment to mitigation and strengthen resilience at a local level. The National Mitigation
82 Framework discusses seven core capabilities required for entities involved in mitigation:

83 ▪ Threats and Hazard Identification

84 ▪ Risk and Disaster Resilience Assessment

85   ▪   Planning

86   ▪   Community Resilience

87   ▪   Public Information and Warning

88   ▪   Long-term Vulnerability Reduction

89   ▪   Operational Coordination.

90   Those who play a role in mitigation range from a single individual making decisions about how to
91   manage the risks in his or her life to large metropolitan regions working to manage their community
92   members' risks from threats and hazards. The Nation increases its resilience when it manages risks
93   across this spectrum, from narrow-impact incidents to widespread severe and catastrophic disasters.
94   Building and sustaining a mitigation-minded culture will make the Nation more socially,
95   ecologically, and economically resilient before, during, or after an incident. Resilience in our
96   communities and the Nation depends on the whole community[1] working together.

97 | **Resilient communities** proactively protect themselves against hazards, build self-
98 | sufficiency, and become more sustainable. Resilience is the capacity to absorb severe
99 | shock and return to a desired state after a disaster. It involves technical, organizational,
100 | social and economic dimensions.... It is fostered not only by government, but also by
101 | individual, organization, and business actions.[2]

102   Effective mitigation[3] begins with *identifying* the threats and hazards we face and determining the
103   associated vulnerabilities and risks. Sound assessment requires risk information based on credible
104   science, technology, and intelligence, validated by experience. *Understanding* risks makes it possible
105   to develop strategies and plans to manage them. *Managing* risks from threats and hazards requires
106   decisionmaking to *accept, avoid, reduce*, or *transfer* those risks. Avoiding and reducing risks are
107   ways to reduce the long-term vulnerability of a community and build individual and community
108   resiliency.

109   When preparing for implementation of mitigation plans, it is critical to consider the implications of
110   mitigation in context of the economy, housing, health and social services, infrastructure, and natural
111   and cultural resources. Taking such a broad view enables leaders to assess existing
112   interdependencies, associated vulnerabilities, and cascading effects so that communities understand
113   the risks thoroughly enough to plan not only for those identified and quantified, but also for residual
114   risks.

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

[2] Godschalk, David R., et.al. 2009. "Estimating the Value of Foresight: Aggregate Analysis of Natural Hazard
Mitigation Benefits and Costs." Journal of Environmental Planning and Management 52(6):739-56.

[3] The President includes a definition of "mitigation" in the policy directive that extends beyond the Robert T.
Stafford Disaster Relief and Emergency Assistance Act. The term "mitigation" under PPD-8 "refers to those
capabilities necessary to reduce loss of life and property by lessening the impact of disasters. Mitigation capabilities
include, but are not limited to, community-wide risk reduction projects; efforts to improve the resilience of critical
infrastructure and key resource lifelines; risk reduction for specific vulnerabilities from natural hazards or acts of
terrorism; and initiatives to reduce future risks after a disaster has occurred."

115 America's security and resilience work is never finished. While we are safer, stronger, and better
116 prepared than a decade ago, we remain resolute in our commitment to safeguard the Nation against
117 its greatest risks, now and for decades to come.

Organization of the Framework

119 The Framework is organized by first laying out the scope of the Framework with a description of the
120 Guiding Principles for Mitigation and the Risk Basis through which Mitigation defines what risk is
121 in the context of this Framework. The Roles and Responsibilities for the mission area are then
122 detailed from the individual level through the Federal Government level. The Core Capabilities
123 section provides definitions, descriptions, and critical tasks for all seven of the Mitigation core
124 capabilities. The next section, Coordinating Structures and Integration, describes the coordinating
125 structures through which coordination at all levels occurs for the mission area as well as integration
126 with the other four mission areas. The Relationship to Other Mission Areas section explains the
127 coordination with the other four mission areas as well as highlighting the three common capabilities
128 across preparedness. Operational Planning for the Mitigation mission area through a Federal
129 Interagency Operational Plan (FIOP) is discussed along with the structure, contents, and review
130 cycles for that plan. The planning assumptions for this Framework can also be found in this section
131 along with a description of how this Framework can be applied in operational planning throughout
132 the whole community. The Supporting Resources section establishes that a National Mitigation
133 Framework Resource Clearinghouse should be developed to be an online resource for the mission
134 area. Lastly, the Conclusion reiterates the importance of the mission area and states the timeframes
135 for review of the Framework document.

Intended Audience

137 The Mitigation Framework addresses individuals, non-profit entities and non-governmental
138 organizations, the private sector, communities, critical infrastructure interests, governments, and the
139 Nation as a whole. Engaging the whole community is critical to success and individual and
140 community preparedness is a key component. By providing equal access to acquire and use the
141 necessary knowledge and skills the whole community can contribute to and benefit from national
142 preparedness. This includes children, individuals with disabilities, and others with access and
143 functional needs; those from religious, racial, and ethnically diverse backgrounds; and people with
144 limited English proficiency. Their contributions must be integrated into preparedness efforts, and
145 their needs must be incorporated during planning and execution of the core capabilities.
146

147

Figure 1: Composition of the Whole Community

Scope

150 PPD-8 directed the development of a National Preparedness Goal to "define the core capabilities
151 necessary to prepare for the specific types of incidents that pose the greatest risk to the security of the
152 Nation" and a series of national planning frameworks to coordinate efforts to deliver the capabilities
153 defined in the Goal. The National Mitigation Framework is one of five frameworks developed to
154 enable achievement of the goal of a secure and resilient Nation with the capabilities required to
155 prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the
156 greatest risk across the whole community. The Framework addresses how the Nation will develop,
157 employ, and coordinate core mitigation capabilities to reduce loss of life and property by lessening
158 the impact of disasters. Building on a wealth of objective and evidence-based knowledge and
159 community experience, the Framework seeks to increase risk awareness and leverage mitigation
160 products, services, and assets across the whole community.

161 | Mitigation is the thread that permeates the fabric of national preparedness. |

162 This Framework describes the seven core capabilities necessary for successful mitigation that will
163 lead to a more resilient Nation. This Framework is driven by risks, rather than the occurrence of
164 incidents. Guided by community leaders at all levels, mitigation efforts steer a cycle of continuous
165 risk management aimed at achieving a secure and resilient Nation. By fostering comprehensive risk
166 considerations, the Framework encourages behaviors and activities that will reduce our exposure and
167 vulnerability.

Guiding Principles

169 There are four guiding principles for mitigation**:** Resilience and Sustainability, Leadership and
170 Locally-focused Implementation, Partnerships and Inclusiveness, and Risk-conscious Culture. These
171 four principles provide the foundation for the Mitigation mission area by establishing the key
172 elements by which mitigation aims to manage risk with the goal of reducing risk and increasing
173 resilience throughout the whole community.

174 ## Resilience and Sustainability

175 Preparing our citizens, our property, our critical infrastructure resources, and our economy to absorb
176 the impact of a threatening event and bounce back in a manner that sustains our way of life in the
177 aftermath makes our communities and the Nation more resilient. Individuals, communities, non-
178 governmental organizations, all levels of government, and the private sector should consider the
179 economic, social, and environmental dimensions of their choices and ensure resiliency is maintained
180 and increased. Sustainability employs a longer-term approach through plans, policies, and actions
181 that reflect a comprehensive understanding of the economic, social, and environmental systems
182 within a community.

183 ## Leadership and Locally-focused Implementation

184 Mitigation empowers formal and informal local leaders to embrace their ownership of building
185 resilient and sustainable communities. Effective, ongoing mitigation is led by the local community,
186 working together to identify, plan for, and reduce vulnerabilities and promote long-term personal and
187 community resilience and sustainability. Everyday discussions and actions can have unexpected
188 implications for risk management and therefore should be viewed through the mitigation lens.
189 Leaders at the state and national level support local leadership by facilitating effective ongoing
190 mitigation through setting a vision, aligning programs, and supporting local efforts as needed.

191 ## Partnerships and Inclusiveness

192 Mitigation is advanced through the collective actions of many groups. No one entity can accomplish
193 these goals. These partnerships may include:

194 - Neighbors

195 - Community associations

196 - Faith-based organizations

197 - All levels of government

198 - Professionals

199 - Experts

200 - Academics

201 - Public groups

202 - Private/corporate entities

203 - Non-profit organizations.

204 The National Mitigation Framework addresses two dimensions of **resilience**:

205 Resilience is **an inclusive, informed process** that addresses social, economic,
206 technical, and organizational dimensions within a community—preparing a community to
207 consciously mitigate rather than ignore risks.

208 Resilience is **an outcome**—the state of being able to withstand, rebound, or adapt to the
209 impacts of disasters and incidents.

210 Participation within these partnerships should include advocates for children, seniors, individuals
211 with disabilities, those with access and functional needs, animals, diverse communities, and people
212 with limited English proficiency. The most effective partnerships within a community capitalize on
213 all available resources—identifying, developing, fostering, and strengthening new and existing

214   coordinating structures to create a unity of effort. Many of the community organizations and partners
215   have active roles in the other mission areas as well.

216   Establishing trusted relationships among leaders and communities prior to a disaster is essential to
217   community resilience and sustainability. These relationships enhance and strengthen day-to-day
218   mitigation efforts and are critical for timely and effective response and recovery activities during and
219   after a disaster event. This inclusiveness will generate public approval to reach the common objective
220   of mitigating risk and promoting resilience.

Risk-conscious Culture

221

222   The American people, resources, economy, and way of life are bolstered and made more resilient by
223   anticipating, communicating, and preparing for threats and hazards—both internal and external—
224   through comprehensive and deliberate risk management. The value of a risk management approach
225   or strategy to decision makers is not in the promotion of a particular course of action, but rather in
226   the ability to distinguish between various risk management choices for accepting, avoiding, reducing,
227   or transferring the risk within the larger context.

228   A community with a risk-conscious culture routinely and systematically assesses its risk from threats
229   and hazards using a multi-disciplinary approach and informs the whole community of those risks to
230   influence all levels of decisionmaking. Nurturing a risk-conscious culture enables community leaders
231   to evaluate a wide variety of threats and hazards and then prioritize strategies, resources, and efforts
232   using a comprehensive approach.

233   A risk-conscious culture involves providing clear, meaningful, consistent, accessible (including for
234   those with limited English proficiency and individuals with disabilities), and culturally appropriate or
235   multi-disciplinary messaging, so that the whole community embraces mitigation and reduces its
236   exposure and vulnerability to risk. Systems, communities, and institutions that are robust, adaptable,
237   and have the capacity for rapid recovery contribute to overall public safety and security. **Resilience is**
238   **an end-state of effective risk management.** Risk management contributes to resilience by
239   identifying opportunities to build resilience into planning and by resourcing to reduce risk in advance
240   of a hazard, as well as by mitigating the consequences of disasters that do occur. By focusing on the
241   resilience of the community as a whole, the community's adaptive capacity to recover from all kinds
242   of change is enhanced, whether that risk has been identified or not.

Risk Basis

243

244   Risk is the potential for an unwanted outcome resulting from an incident or caused by systemic
245   degradation, as determined by its likelihood, associated consequences, and vulnerability to those
246   consequences.

247   The Strategic National Risk Assessment (SNRA) categorized threats and hazards for the Nation into
248   three categories: 1) natural hazards; 2) technological/accidental hazards; and 3) adversarial/human-
249   caused threats/hazards. Figure 2 shows examples of threats and hazards from these categories. The
250   examples represented are not an exhaustive list of threats and hazards but highlight some of those
251   included in the SNRA.

252
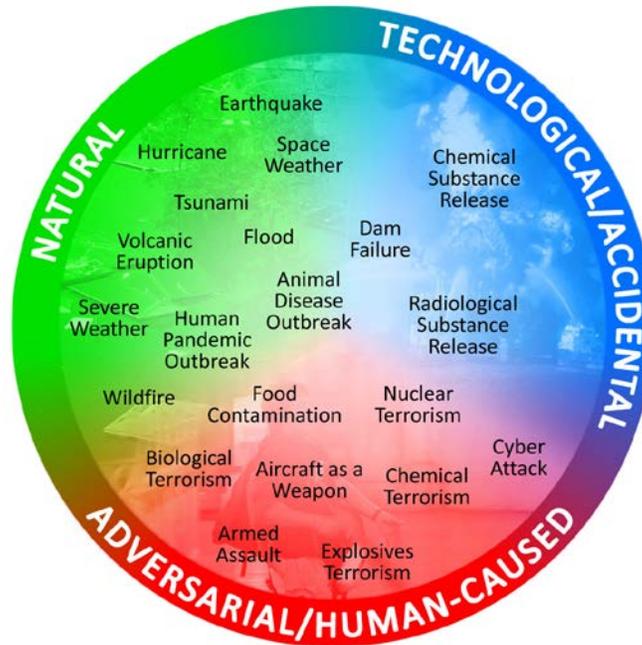
Figure 2: Examples of Threats and Hazards Categorized by the Strategic National Risk Assessment Categories

253
254

255 The core capabilities in the National Preparedness Goal are informed by the results of the SNRA,
256 which identifies the threats and hazards most likely to affect the Nation. Planning for and managing
257 the "greatest risks" is a fundamental component of the National Preparedness Goal and the National
258 Preparedness System. Sometimes these unwanted outcomes and incidents are due to system causes
259 that need to be addressed. Regardless of whether mitigation occurs at the individual, institutional, or
260 national level, each entity coordinates with mitigation partners vertically and horizontally to identify,
261 clarify, and prioritize risks.

262 # Roles and Responsibilities

263 Resilience depends on the whole community of individuals, families, and households; communities;
264 non-governmental organizations; private sector entities; local governments; state, tribal, territorial
265 and insular area governments; and the Federal Government. Inclusiveness and partnership throughout
266 these levels can ensure the best use of available knowledge, resources, and efforts. All levels of
267 public and private entities have a role in community resilience and sustainability by supporting,
268 promoting, aligning, and implementing policies and activities that lead to maintaining and
269 strengthening community and economic vitality while reducing the long-term vulnerabilities of the
270 community. Mitigation activities are implemented through the core capabilities with consideration
271 given to the economy, housing, health and social services, infrastructure, and natural and cultural
272 resources. Comprehensive mitigation strategies consider the systems that make up our communities
273 and the Nation.

Economic
Strategies to support a prosperous, more competitive, and resilient economy and to restore economic vitality following an incident

Health and Social Services
Strategies for providing health and social services to promote the health, independence, and well-being of the whole community

Housing
Strategies for building more resilient housing and incorporating mitigation activities as part of new construction or rebuilding activities

Infrastructure
Strategies to provide and strengthen essential infrastructure and services, including transportation infrastructure and modes, to reduce vulnerability and increase resilience

Natural and Cultural Resources
Strategies to conserve, protect, and restore natural and cultural assets of the community

274

275 **Figure 3: Comprehensive Mitigation Includes Strategies for All Community Systems.**

276 ## *Individuals, Families, and Households*

277 Mitigation begins with individual awareness and action. Informed actions that reduce risk allow
278 individuals, families, households, and their animals to better withstand, absorb, or adapt to the
279 impacts of threats and hazards. Adverse incidents can compromise safety, physical and behavioral
280 health, property, and financial well-being. Safe and secure individuals, families, and households are
281 often less dependent on response services, which in turn places fewer responders in hazardous
282 situations to perform rescue operations. Members of vulnerable populations (e.g., those with access
283 or functional needs, the socially isolated, the medically frail, children, seniors, culturally and racially
284 diverse communities, and people with limited English proficiency) benefit from mitigation actions as
285 they can expect fewer disruptive disaster impacts and a decreased need for supplemental resource
286 support.

287 Possible individual, family, and household long-term vulnerability reduction efforts can
288 include:[4]

289 ▪ Ensuring that a tornado safe room or shelter is quickly and easily accessible

290 ▪ Taking actions such as removing pine needles from the roof and gutters to reduce the
291 likelihood of a home catching fire from wildfire embers

292 ▪ Maintaining appropriate insurance coverage

293 ▪ Installing a home generator

294 ▪ Elevating heat pumps, water heaters, and air conditioners high enough to stay dry
295 during a flood event.

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[4] Refer to the Core Capabilities section for more information.

Communities

296
297 Communities are unified groups that share goals, values, or purposes, rather than geographic
298 boundaries or jurisdictions. Communities advancing mitigation can include social and community
299 service groups and institutions, neighborhood partnerships, the disability community, online
300 communities, hazard-specific coalitions, and communities of practice. These communities bring
301 people together in different ways for different reasons, but each provides opportunities for sharing
302 information and promoting collective action. Communities have the ability to promote and
303 implement mitigation activities without necessarily holding a formal position of authority within a
304 jurisdiction.

Non-governmental Organizations

305
306 Non-governmental organizations and non-profit organizations—including voluntary organizations,
307 faith-based organizations, national and professional associations, and educational institutions—play
308 an essential role in facilitating resilience across the whole community. These organizations are
309 inherently independent and committed to specific interests and values. They can augment
310 government efforts and provide specialized services to vulnerable populations such as children,
311 individuals with access and functional needs, diverse communities, people with limited English
312 proficiency, and owners of household pets and service animals.

313
314 Federal Alliance for Safe Homes (FLASH®) is an example of a non-profit organization
315 that advocates for strengthening homes and safeguarding families from natural and man-made disasters nationwide.

Private Sector Entities

316
317 Private sector entities (e.g., local businesses, large corporations, healthcare providers, childcare
318 providers, and other service providers) are integral parts of the community and their perspectives are
319 indispensable in mitigation efforts. Mitigation is a sound business practice that enables a reduction in
320 disaster losses and a quicker restoration of normal operations, and private sector investments in
321 continuity and vulnerability reduction also have broad benefits. A more resilient private sector
322 strengthens community resilience by helping to sustain economic vitality and ensuring the continued
323 delivery of goods and services in the aftermath of a disaster. Among numerous activities that
324 promote and implement the mitigation core capabilities, businesses analyze and manage their own
325 risks, volunteer time and services, operate business emergency operations centers, help protect
326 America's infrastructure, and promote the return on investment realized from increased resilience
327 and reduced vulnerability.

328 As the owners and operators of a portion of the Nation's infrastructure, private sector entities are
329 essential to improving resilience through planning and long-term vulnerability reduction efforts.
330 Private sector research, development, and investment remain key drivers of new and improved long-
331 term vulnerability reduction capabilities, making these investments an increasingly effective, cost-
332 efficient, and sustainable approach to building resilience.

Local Governments

333
334 Working to protect the health, safety, and welfare of the people they represent, local governments
335 bear responsibility for mitigation activity. Across multiple levels of public service, they develop,
336 assess, and implement mitigation core capabilities with consideration given to the economy, housing,
337 health and social services, infrastructure, and natural and cultural resources. Local governments often

338 join together and take a regional approach to mitigation, such as across watersheds or nuclear
339 emergency planning zones.

340 Most mitigation occurs at the local level, where communities apply a localized understanding of risks
341 to effective planning and identify strategic mitigation options. Local governments are directly
342 connected to community plans and goals and in many cases bring more precise understanding of
343 local vulnerabilities to bear on risk reduction activity. Making the connection between community
344 resilience priorities and private sector development is a challenge most often addressed directly at the
345 local level. Actions to reduce long-term vulnerability, such as building code enforcement, are applied
346 in both the pre-disaster planning and the post-disaster recovery activities of the jurisdiction.

State, Tribal, Territorial, and Insular Area Governments

348 State, tribal, territorial, and insular area governments are responsible for the public safety, security,
349 health, and welfare of the people who live in their jurisdictions. These levels of government serve an
350 integral role as a conduit for vertical coordination between Federal agencies and local governments.
351 They implement mitigation core capabilities through designated officials such as State Hazard
352 Mitigation Officers, Tribal Hazard Mitigation Officers, or National Flood Insurance Program
353 Coordinators. State, tribal, territorial, and insular area governments can promote resilience through
354 their legislative bodies by implementing legislation that facilitates mitigation in all relevant
355 functional components of the government, such as laws governing local land use and development
356 decisions or building codes.

Tribal Governments

358 As sovereign nations, tribal governments govern and manage the safety and security of their lands
359 and community members along with their Federal partners. Federal, state, and local, governments
360 work with the sovereign tribal governments to ensure integration of their mitigation efforts. Tribal
361 governments may assume a state or local role when receiving certain Federal hazard mitigation
362 funding and developing hazard mitigation plans.

Federal Government

364 Supporting the whole community with Federal resources, data, intelligence, and leadership requires
365 an engaged and responsive Federal role in mitigation. As described in the *Coordinating Structures*
366 *and Integration* section, several executive departments and agencies identified by Presidential
367 Directive as Sector-Specific Agencies play a leadership role in coordinating programs to address the
368 effects of deliberate efforts by terrorists to destroy or exploit elements of the Nation's infrastructure
369 and to strengthen the national resilience of that infrastructure. The Federal Emergency Management
370 Agency (FEMA) plays a role in coordinating Federal mitigation policy and the effectiveness of
371 mitigation capabilities as they are developed and deployed across the Nation.

372

Table 1: Examples of Roles and Responsibilities That Advance Mitigation

Row	Role/Responsibility	Individuals, Families, and Households	Communities	Non-governmental Organizations	Private Sector Entities	Local Governments	State, Tribal, Territorial, and Insular Area Governments	Federal Government
1	Work with the Federal Government to inform the assessment, development, and coordination of mitigation core capabilities.		X	X	X	X	X	
2	Coordinate the national development, implementation, and assessment of mitigation core capabilities.							X
3	Use regulatory authorities and provide funds, incentives, expertise, and leadership to promote the development, implementation, and assessment of mitigation core capabilities. For example, use financial incentives and targeted capital improvement projects to reduce long-term vulnerabilities.					X	X	X
4	Contribute to the general understanding of risk through the collection, development, analysis, and sharing of information about threats, hazards, and vulnerabilities, as well as through constant evaluation and enhancement of risk assessment methodologies.			X	X	X	X	X
5	In coordination with other mission areas, develop and fund training curricula for preschool, grades K-12, colleges and universities, continuing education, and the whole community to develop proficiency in understanding risks and mitigation.			X	X	X	X	X
6	Engage with local leaders and planners to share perspectives on localized threats and hazards, vulnerabilities, and priorities for incorporating mitigation into community planning and development, therefore making achieving resilience a part of the community both before and after a disaster.	X	X	X	X	X		
7	Assess risks and disaster resilience. Maintain awareness of threats, hazards, and vulnerabilities.	X	X	X	X	X	X	X

Row	Role/Responsibility	Individuals, Families, and Households	Communities	Non-governmental Organizations	Private Sector Entities	Local Governments	State, Tribal, Territorial, and Insular Area Governments	Federal Government
8	Incorporate mitigation principles and priorities into ongoing activities, including economic and community planning and development, construction and assessment of infrastructure, comprehensive plans, disaster response and recovery support, homeland security research and development, training, and exercises. Identify leaders who will be responsible for applying mitigation capabilities to these areas, and identify ways to incentivize integration into existing organizational processes.	X	X	X	X	X	X	X
9	Acquire funding or resources and take action to reduce risk through projects, such as home elevation, or processes, such as enforcing building codes.	X	X	X	X	X	X	
10	Provide functional capacity and technical expertise to implement long-term vulnerability reduction projects across the whole community, whether engineering a bridge to withstand an earthquake, planning a future development for resilience, or building redundancies into critical infrastructure and lifeline systems.		X	X	X	X	X	X
11	Identify loss reduction and loss control methods and resources to develop mitigation strategies that reduce risks from threats and hazards to personnel, assets, and operations. Maintain continuity of government, continuity of operations, and business continuity.			X	X	X	X	X
12	Become familiar with public information and warning systems, share information with friends and neighbors, and promote mitigation efforts within communities.	X	X	X	X	X		

Row	Role/Responsibility	Individuals, Families, and Households	Communities	Non-governmental Organizations	Private Sector Entities	Local Governments	State, Tribal, Territorial, and Insular Area Governments	Federal Government
13	Conduct and fund outreach and education to effectively communicate successful practices, local mitigation priorities, and event-specific warnings and information in ways that are clear, consistent, accessible, and culturally and racially appropriate. Plan ahead and incorporate the access and functional needs of people with disabilities.		X	X	X	X	X	X

373

Core Capabilities

374

375 Building on the National Preparedness Goal, this section explains what each mitigation core
376 capability entails, the context in which it is employed, and the key actions associated with it. This is
377 not an exhaustive list of mitigation capabilities, but rather a description of the core capabilities
378 utilized across the Nation. Individuals and households, communities, private sector and non-
379 governmental organizations, and all levels of government should evaluate their particular risks and
380 existing resources to determine whether and how to further develop and deploy these capabilities.

381 The Threats and Hazard Identification and Risk and Disaster Resilience Assessment capabilities
382 enable risk-based decisionmaking based on both general and localized information about threats,
383 hazards, and vulnerabilities. The Planning capability enables a process that evaluates and prioritizes
384 mitigation options for reducing risk, which are then implemented through the Long-term
385 Vulnerability Reduction capability by taking actions to reduce risk and increase resilience. The
386 whole community contributes to and benefits from the Operational Coordination capability, which
387 promotes effective collaboration and avoids duplication of effort. The whole community also shares
388 information about risks and ongoing or recommended mitigation activities through the Public
389 Information and Warning capability. The Community Resilience capability enables all of the other
390 capabilities by providing the leadership and collaboration necessary to identify, build support for,
391 initiate, and sustain mitigation efforts that reflect the needs and priorities of all pertinent
392 stakeholders.

393

394 **Figure 4: Mitigation Core Capabilities**

395

Threats and Hazard Identification

Definition:[5]

Identify the threats and hazards that occur in the geographic area; determine the frequency and magnitude; and incorporate this into analysis and planning processes so as to clearly understand the needs of a community or entity.

Capability Description

In the context of mitigation, this capability involves the continual process of collecting timely and accurate data on threats and hazards to meet the needs of analysts and decision makers. Threats and Hazard Identification relies on two-way data collaboration—nationally generated and locally derived data. The bottom-up approach requires proactive, self-reliant, and empowered communities to gather data. Partners at all levels in the community make use of local, regional, state, and national data. Modeling and tools are refined by more specific local data. This approach ensures that existing national data can be reinforced and verified at the local level, and improved as new data is generated. Both approaches generate a strategic, holistic picture that the community can share and use. Outputs derived from Threats and Hazard Identification activities may be used to inform planning activities in the other mission areas, especially Protection and Response. In return, lessons learned in the other mission areas can be used to augment Threats and Hazard Identification data, models, and tools.

Effective Threats and Hazard Identification is supported by standardized data sets, platforms, methodologies, terminologies, metrics, and reporting to unify levels of effort across all layers of government and society, reducing redundancies. Threats and Hazard Identification also requires the ability to synthesize real-time, static, and historical data to accurately assess risk.

Critical Tasks for Threats and Hazard Identification

- Gather required data in a timely and accurate manner in order to effectively identify threats and hazards.

- Ensure that the right data are received by the right people at the right time.

- Share natural hazards data in a transparent and accessible way.

- Strike a proper balance between dissemination and classification of national security and intelligence information.

- Build cooperation between private and public sectors by protecting internal interests but sharing threats and hazard identification resources and benefits.

- Leverage available third-party data, tools, and information; social media; and open-source technology.

- Translate data into meaningful and actionable information through appropriate analysis and collection tools.

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[5] Source: National Preparedness Goal

430 ## *Risk and Disaster Resilience Assessment*

431
> **Definition:**[6]
>
> 432 Assess risk and disaster resilience so that decision makers, responders, and community
> 433 members can take informed action to reduce their entity's risk and increase their
> 434 resilience.

435 ## Capability Description

436 Risk and Disaster Resilience Assessment is the evaluation of threats, hazards, vulnerabilities, needs,
437 and resources through algorithms or other methods to define and prioritize risks so community
438 members, decision makers, and responders can make informed decisions and take appropriate action.
439 Such an assessment directly connects threat and hazard data and information in order to analyze and
440 understand the potential effects on a community. A robust Risk and Disaster Resilience Assessment
441 capability allows a comparison and prioritization of risks from disparate threats and hazards across a
442 variety of communities and jurisdictions. Risk and Disaster Resilience Assessment outcomes such as
443 analysis and data can be leveraged in planning efforts and resource allocation across the other
444 mission areas.

445 ## Critical Tasks for Risk and Disaster Resilience Assessment

446 *Data*

447 ▪ Share risk assessment data, both new and existing, to establish common operations across
448 mission areas and standardized data requirements and guidance. Secure sensitive data as
449 appropriate.

450 ▪ Provide the right data to the right people at the right time.

451 ▪ Incorporate vulnerability data sets such as population, demographic, infrastructure inventory and
452 condition assessment information, critical infrastructure, lifelines, key resources, building stock,
453 and economic data to calculate the risk from the threats and hazards identified.

454 ▪ Create and maintain redundant systems for storing information.

455 ▪ Establish standard data formats to enable sharing of vulnerability data and risk assessment
456 outputs.

457 ▪ Update risk assessments to include changes to the risks and the physical environment. This
458 includes aging infrastructure, new development, new mitigation projects and initiatives, post-
459 event verification/validation, new technologies or improved methodologies, and better or more
460 up-to-date data.

461 *Analysis*

462 ▪ Develop faster analysis tools to provide data more quickly to those who need it, and make use of
463 tools and technologies such as geographic information systems (GIS).

464 ▪ Validate, calibrate, and enhance risk assessments by relying on experience and knowledge
465 beyond raw data or models.

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[6] Source: National Preparedness Goal

466   ▪ Take advantage of knowledge gained by those who have experienced incidents to help
467   understand all the interdependencies, cascading impacts, and vulnerabilities associated with
468   threats and hazards.

469   ▪ Understand social and structural vulnerabilities.

470   ▪ Consolidate analysis efforts to remove useless duplication and provide a more uniform picture of
471   the risks.

472   *Education and Training*

473   ▪ Build the capability within communities to analyze and assess risk and resilience.

474   ▪ Train for the development of risk assessments to help with the standardization of assessment
475   outputs.

476   ▪ Create a risk-driven culture through robust analysis.

477   ▪ Ensure that data users and assessment stakeholders know where to get data and what to do with
478   it.

479   ▪ Train stakeholders to have the same accurate and comprehensive standards of risk assessment.

480   ▪ Use risk assessments to design exercises for response activities and to determine the feasibility of
481   mitigation projects and initiatives.

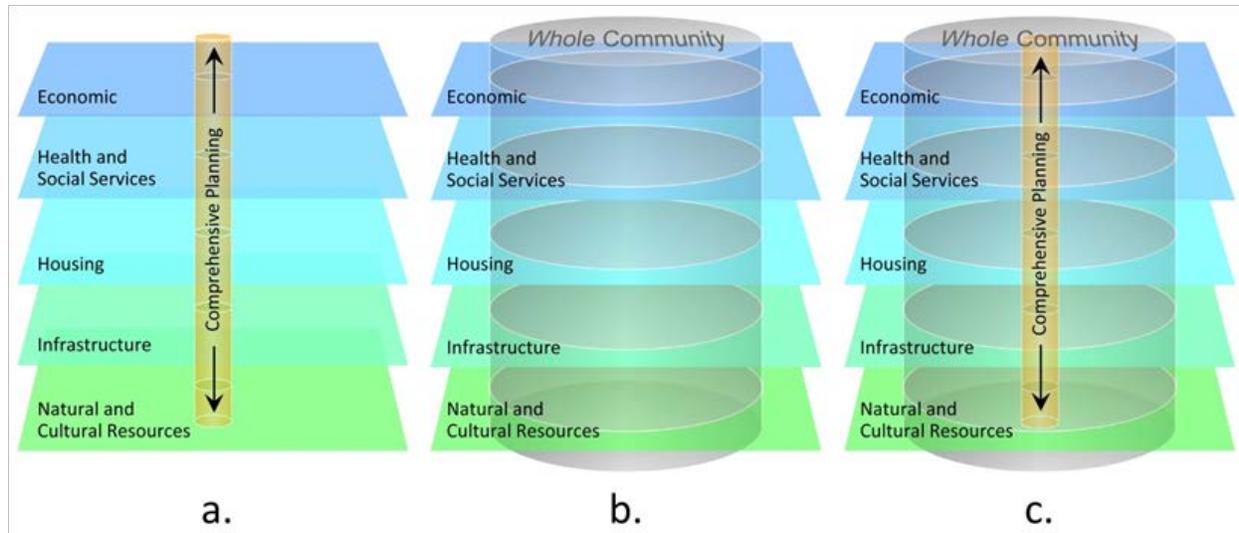## Planning

482

483   **Definition:[7]**

484   Conduct a systematic process, engaging the whole community as appropriate, in the
485   development of executable strategic, operational, and/or community-based approaches
486   to meet defined objectives.

Capability Description

488 Planning is vital to mitigation, whether it happens at the individual level; in neighborhoods, cities,
489 regions, or states; at the national level; or in groups that do not share the same geographic area.
490 Within mitigation, planning is a systematic process that translates risk assessment data and
491 information into prioritized goals and actions for the whole community. Federal agencies, states,
492 businesses, individuals, and groups all develop plans for increasing their resilience. Effective plans
493 are living documents that evolve over time and address new risks and vulnerabilities as they arise.

494 The planning process is a tool to integrate risk analysis and assessment of local capabilities and
495 authorities into community priorities and decisionmaking. This includes development of plans related
496 to family emergencies, land use, critical infrastructure, transportation, capital improvement
497 (including budgets), business improvement districts, sustainability, disaster recovery, climate
498 adaptation, energy assurance, public health, and multi-hazard mitigation. Wherever possible,
499 mitigation planning should capitalize on existing community efforts. Integrating planning efforts
500 across sectors, disciplines, and mission areas and sharing risk analysis and vulnerability assessments
501 eliminates redundancy and identifies common solutions.

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[7] Source: National Preparedness Goal

502

Figure 5: Comprehensive Planning for the Whole Community and Across All Community Systems

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504

505 Figure 5 illustrates how comprehensive plans (or their equivalent) guide future development and
506 redevelopment. These plans lead communities to be more resilient through the implementation of
507 mitigation strategies for each of a community's systems (see column a). The whole community
508 makes up and relies on these systems (see column b). To be more resilient overall, a community must
509 plan for and implement mitigation strategies addressing the whole community, its systems, and the
510 interdependency of those systems (see column c).

511 To these ends, it is vital that plans reflect the values of the whole community. Planning is most
512 effective when it is driven by local need rather than Federal mandates. Individuals and the private
513 sector bring specific, valuable expertise and resources to the table when developing and executing
514 plans. Planning teams should be integrated and represent a broad spectrum of the population, both
515 public and private, so plans result in strategies and actions that are more meaningful and relevant to
516 the mitigation process and the community.

517 ## Critical Tasks for Planning

518 ▪ Create a planning process that is ongoing and builds on itself—focusing a community's
519   capabilities on risk-based decisions.

520 ▪ Collaborate, cooperate, and build consensus across other disciplines that impact plans.

521 ▪ Seek out and incorporate the whole community in planning efforts.

522 ▪ Foster public-private partnerships to promote resiliency and maximize utilization of available
523   resources.

524 ▪ Promote planning initiatives through multiple media sources.

525 ▪ Share success stories where resilience-based planning has demonstrated measureable
526   effectiveness in creating economic vitality within communities.

527 ▪ Build on the expertise, knowledge, and systems in place within the community.

528 ▪ Engage in a peer-to-peer mentoring structure that promotes best practices, particularly when the
529   planning capability is not present in a community.

530 ▪ Understand the full range of animal issues in the community. This will ensure that the
531   jurisdiction is equipped to comprehensively address human and animal issues and take steps to
532   mitigate vulnerabilities in this area during or after a disaster.

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533 **Effective Planning Practices**

534 ▪ Provide incentives, information, and tools for businesses to exceed standards.

535 ▪ Strengthen building codes that address specific risks.

536 ▪ Create economic development opportunities that reduce vulnerabilities.

537 ▪ Implement strategies before a disaster.

538 ▪ Create communications networks to reach all partners in the community.

539 ▪ Exercise the decisionmaking process outlined in the plan.

540 ▪ Monitor plan usefulness.

541 ▪ Account for stakeholder values in light of hazard mitigation—find planning initiatives that
542 build off long-standing community values.

543 ▪ Include mitigation strategies in comprehensive plans.

Community Resilience

545 **Definition:**[8]

546 Lead the integrated effort to recognize, understand, communicate, plan, and address
547 risks so that the community can develop a set of actions to accomplish mitigation and
548 improve resilience.

Capability Description

550 For the Mitigation Framework, Community Resilience is a capability of leadership, collaboration,
551 partnership building, education, and skill building. A community uses these skill sets to understand
552 and assess its risks and to plan, coordinate, and execute actions that reduce vulnerability over the
553 long term. The Community Resilience capability supports and orchestrates all mitigation.

554 Official and informal leaders at all levels are important messengers, models, and change agents to
555 ensure that mitigation elements are included in plans and actions on a routine basis. A whole
556 community approach to building sustainable and resilient communities requires finding ways to
557 support and strengthen the institutions, assets, and networks that already work well in communities
558 and are working on a daily basis to address issues important to community members.

Aspects of the Community Resilience Capability

560 *Leadership: The ability to bring together a group that collaborates to make well-informed, timely*
561 *decisions.*

562 A resilient community embodies the risk-based culture—one of vigilance, periodic assessment, and
563 continuous improvement. Establishing resilience often requires improvements to the processes, task
564 organization, prioritization, and sometimes even the culture of a community's everyday business.
565 Leading such change, or merely maintaining the resilient character of a community, requires
566 embracing and adopting mitigation principles. Leaders need to demonstrate to community members

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[8] Source: National Preparedness Goal

567 the intrinsic benefits of implementing change, and then project a vision of the future that inspires
568 community members to change mindsets and behaviors to adopt a more resilient outlook.

569 Keeping mitigation activities credible and relevant to a community will also help address
570 complacency when there hasn't been an incident in recent history to highlight the need for ongoing
571 mitigation. Maintaining a continual dialogue in a trusted environment is essential for connecting
572 public and private sector interests, as well as individual and shared values, interests, and priorities
573 across multiple communities.

574
> **Successful Partnerships**
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> The **Insurance Institute for Business & Home Safety** conducts objective scientific research to identify and promote effective actions that strengthen homes, businesses, and communities against natural disasters and other causes of loss. Members are insurers and reinsurers that conduct business in the United States or reinsure risks located in the United States. Affiliate membership is open to brokers, managing general agents, and independent agents. Associate membership is open to all others who support their mission.

582 *Collaboration: A broad engagement and ongoing dialogue about threats and vulnerabilities and*
583 *meaningful, sustained participation in community planning and decisionmaking.*

584 Meaningful risk reduction measures will frequently include collaboration among private sector
585 interests in community development, public sector or law enforcement interests in community safety,
586 and various other interest groups, such as those representing children, seniors, and those with access
587 and functional needs. Creating an environment that capitalizes on shared interests and addresses
588 differences is crucial to accomplishing resilience. Further collaboration includes schools and child
589 care; public, agricultural/animal, and environmental health departments; hospitals/hospital
590 associations; and behavioral health services. A community will recover more effectively with intact
591 school, child care, and health and medical systems. Leadership should remove barriers to the
592 inclusion of the whole community, which includes persons with access and functional needs, limited
593 English proficiency, and culturally and racially diverse groups.

594 *Partnership Building: The establishment of long-term relationships—well before, during, and*
595 *after incidents— that support ongoing communication and awareness building, decisionmaking,*
596 *and the implementation of plans and decisions.*

597 Partnership building is a key to resilient communities. Mitigation capabilities are coordinated through
598 new and existing partnerships at all levels of government with the private sector and non-
599 governmental organizations. Partnerships facilitate the timely exchange of information and provide a
600 potential source of shared resources through mutual aid and assistance agreements. Partnerships also
601 support a vital educational component, promoting or sharing risk management knowledge and
602 strategies within communities and supporting a variety of skill sets and stakeholders. The continued
603 use of a partnership model promotes the coordinated delivery of mitigation capabilities.

604 *Education and Skill Building*

605 Resilient communities share and rely on existing education and outreach tools and create their own
606 opportunities to advance mitigation. Resilient communities are capable of adapting to change and can
607 integrate new information or educate communities on how to change systems to improve their
608 resiliency. Partnerships and professional groups capture mitigation success stories from communities
609 across the country, share experience, and develop new resources and skills within their own
610 communities. There is a wealth of information on risk reduction activity (available from local

611 government, private sector, state, and Federal sources), as well as a wide range of education and
612 outreach material available from communities with expertise. Resilient communities leverage these
613 resources and integrate them into their training and outreach efforts. Educational institutions, from
614 preschool to graduate-level programs, professional certification groups, and continuing education
615 programs, have a unique opportunity to incorporate resilience topics into their curriculum, affecting
616 education in multiple disciplines.

617 *Critical Tasks for Community Resilience*

618 ▪ Know your community's systems—who makes up the community and how to build constructive
619   partnerships.

620 ▪ Understand the risks facing a community, including physical, social, economic, and
621   environmental vulnerabilities to all threats and hazards.

622 ▪ Recognize and communicate the reinforcing relationships between environmental stewardship
623   and natural hazard risk reduction (e.g., enhancement of flood storage through wetland
624   protection/restoration and holistic floodplain management).

625 ▪ Promote whole community communications across social networks and organizations where
626   interdependency is recognized and key to proactive planning and response.

627 ▪ Foster sustained communication, civic engagement, and the development and implementation of
628   long-term risk reduction actions in the whole community.

629 ▪ Convince community members of the value of mitigation for reducing the impact of disasters and
630   the scale of response and recovery efforts.

631 ▪ Identify and promote sound choices and discourage bad ones.

632 ▪ Inspire transparency in risk management decisionmaking so that individuals, communities,
633   private organizations, and all levels of government demonstrate how resilience is considered.

634 ▪ Recognize the interdependent nature of the economy, health and social services, housing
635   infrastructure, and natural and cultural resources within a community.

636 ▪ Acknowledge and seek out naturally occurring relationships within communities and build
637   relationships before disasters or incidents occur.

638 ▪ Educate the next generation of community leaders and resilience professionals; learn from the
639   past and from what is working in the present.

640 | **Community resilience** is expressed through a holistic approach to risk reduction. The
641 | success of one element relies upon the resilience capacity of other elements. For
642 | example, when a large business facility is retrofitted to account for wind and flood
643 | hazards, the community is also motivated to strengthen area schools, employee housing,
644 | and transportation infrastructure to ensure that workers will be able to quickly rebound
645 | from an incident, return to work, and restore the community's tax base.

646 Collaborative steady-state Prevention and Protection mission actions support the Community
647 Resilience capability. Increased resilience, brought about through engaged leadership, collaborative
648 partnerships, and education efforts lessens the Response requirements following an incident.
649 Resilient communities are likely to be better coordinated and prepared for Recovery activities to
650 include the restoration of physical, economic, and social infrastructures. Lessons learned from the
651 other mission areas can be incorporated in subsequent resilience building initiatives and planning
652 efforts.

Public Information and Warning

> **Definition:**[9]
>
> Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively relay information regarding any threat or hazard and, as appropriate, the actions being taken and the assistance being made available.

Capability Description

Effective mitigation is powered throughout its capabilities by risk-informed decisionmaking. For mitigation, Public Information and Warning includes all information targeted toward creating resilient communities. The whole community shares information; communicates analytical findings; conducts outreach, engagement, and education; and builds consensus as part of ongoing actions. This capability provides a continuous flow of risk and hazard information to the whole community, in particular to those persons who authorize action before and following a disaster and drive risk-informed recovery decisions.

Timely, accurate, and open information sharing, along with mutual regard and respect for all stakeholders, provides the foundation for effective engagement. The most critical elements of information concerning hazards, risk, responsibilities, successful practices, preventive measures, situational awareness, capabilities, and available assistance should be clearly and openly communicated by leaders to the whole community—including those with access or functional needs, the socially isolated, children, seniors, culturally and racially diverse communities, and people with limited English proficiency.

Critical Tasks for Public Information and Warning

Steady-state/Ongoing Operations

- Persuade the public that it is worthwhile to build a resilient community. Encourage private and public sector partners to work together to communicate the benefits of mitigation action and arrive at solutions.

- Communicate priorities and actions identified through risk analysis and plans to stakeholders and those expected to take action to reduce risk.

- Refine and consider options to publicly release potentially sensitive risk information.

- Use social media, websites such as Ready.gov, and smartphone applications, as well as more traditional mechanisms such as community meetings or ethnic media outlets, to inform the public of actions to take to connect preparedness to resilience.

- Promote mitigation and resilience to the public through a national preparedness campaign to increase public awareness and motivate individuals to build societal resilience prior to an event.

- Support and increase the number of communities that develop and share risk reduction products (e.g., building codes, design standards, floodplain management principles and practices, architectural accessibility standards, etc.).

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[9] Source: National Preparedness Goal

690   *Incident-Driven Operations*

691   ▪   Share prompt instructional messages, including specific hazard and threat public alert systems as
692   appropriate, to help people prepare for imminent or follow-on incidents. Provide the tools
693   necessary to make decisions quickly, such as a synchronization matrix that allows multiple
694   leaders to make independent decisions.

695   ▪   Share information obtained through coordinating activities to inform response and recovery
696   decisionmaking by effectively communicating threat and hazard risk analysis. For example, use
697   the Threats and Hazard Identification and Risk Assessment or the Federal Bureau of
698   Investigation (FBI) Annual Threat Report.

699   ▪   Conduct outreach with atypical partners. Coordinate common messaging and verified source
700   communications through local community leaders.

701   ▪   Coordinate the release of timely incident-specific information and monitor for the release of
702   incorrect information following a natural, technological, or man-made disaster.

703   ▪   Capitalize on the critical post-disaster window of opportunity and the media information cycle to
704   influence public opinion to take steps toward future mitigation.

705   *Change Management*

706   ▪   Address evolving risk perception and risk communication within a community.

707   ▪   Practice science-based methods such as community-based social marketing to create behavior
708   change.

Long-term Vulnerability Reduction

710

> **Definition:**[10]
>
> Build and sustain resilient systems, communities, and critical infrastructure and key
> resources lifelines so as to reduce their vulnerability to natural, technological, and
> human-caused incidents by lessening the likelihood, severity, and duration of the adverse
> consequences related to the incident.

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Capability Description

716   Long-term Vulnerability Reduction encompasses a variety of actions that reduce vulnerability. A
717   resilient community has taken stock of the threats and hazards it faces; analyzed its available
718   resources, processes, programs, and funding opportunities; and adopted successful practices as it
719   promotes individual and community safety and resilience. The result is informed action that leads to
720   lasting reductions in vulnerability.

721   Building this capability enhances resilience and vitality across economic, housing, health and social,
722   natural and cultural resources, and infrastructure domains. Further, it lessens the effects of natural,
723   accidental, or adversarial incidents. Reducing vulnerability over the long term can include actions as
724   varied as including mitigation measures in construction and development plans and projects,
725   adopting and enforcing hazard-resistant building codes and standards, or initiating and maintaining
726   neighborhood civic associations. Long-term Vulnerability Reduction includes initiatives and
727   investments that reduce Response and Recovery resource requirements in the wake of a disaster or
728   incident. Individuals and organizations active across all mission areas can help identify opportunities
729   to reduce risk and build resiliency through this capability.

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[10] Source: National Preparedness Goal

730 Long-term Vulnerability Reduction requires a commitment to the long-term planning and investment
731 processes to ensure community resilience and vitality after an incident. Community partners and
732 stakeholders must be engaged and educated on risks, vulnerabilities, and mitigation activities and
733 share necessary resources, avoiding duplication of effort. The result is a safer community that is less
734 reliant on external financial assistance.

Critical Tasks for Long-term Vulnerability Reduction

736 Mitigation actions are successfully implemented with commitment from the community. Engaging
737 the whole community with a stake in vulnerability reduction ensures that public and private entities,
738 as well as individuals, are invested, fully active partners.

Individual and Local Community

740 ▪ Broaden the use of natural hazards and catastrophic insurance.

741 ▪ Develop plans, and recognize that a prepared individual or family is the foundation of a resilient
742 community.

743 ▪ Promote neighborhood activities such as participation in awareness campaigns.

744 ▪ Adopt and enforce a suitable building code to ensure resilient construction.

745 ▪ Capitalize on opportunities during the recovery building process to further reduce vulnerability.

Private Sector and Government

747 ▪ Put community plans to work. Execute identified risk management priorities and actions from
748 analysis and planning processes in the community.

749 ▪ Make risk reduction a priority in capital improvement projects.

750 ▪ Employ a variety of incentives, statutory and regulatory requirements, and voluntary initiatives to
751 implement successful practices throughout communities.

752 ▪ Be transparent and explicit about mitigation efforts in order to increase and sustain whole
753 community investment, reduce duplication of effort, and encourage complementary efforts by
754 partners.

755 ▪ Establish standards and practices to reduce long-term vulnerability.

756 ▪ Capitalize on opportunities during the recovery building process to further reduce vulnerability.

Operational Coordination

758 **Definition:**[11]

759 Establish and maintain a unified and coordinated operation structure and process that
760 appropriately integrates all critical stakeholders and supports the execution of core
761 capabilities.

Capability Description

763 Incorporating mitigation efforts, as well as response and recovery efforts following disasters, into
764 everyday activity requires operational coordination. Operational Coordination is an important
765 component in achieving successful mitigation through coordinating structures (see the following

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[11] Source: National Preparedness Goal

766 section, *Coordinating Structures and Integration*) that connect mitigation practitioners with other
767 communities of interest, practice, and expertise. Operational Coordination is fundamental to all the
768 other mitigation capabilities and is necessary to build whole community resilience.

769 More specifically, Operational Coordination is the conduit to and from stakeholders. It leverages
770 other mitigation capabilities and other mission areas to promote resource sharing, collaboration, and
771 whole community mitigation. This capability is broad and could refer to a physical coordinating body
772 or a document that outlines procedures. Effective Operational Coordination enables efficient
773 information flow but also contains a feedback mechanism that incorporates improvements back into
774 the governing process and structures.

775 Some threats, hazards, or disasters require highly disciplined and uniform operational coordination.
776 This is particularly true during initial response and recovery activities, where incident command and
777 control structures are in place to ensure the safety of responders and provide continuity and
778 accountability for survivors. Other situations, such as daily building enforcement operations or
779 community planning efforts, are more decentralized and organic in their coordinating structures,
780 bringing together varied and complex stakeholders with unique authorities and responsibilities.
781 Whatever the coordination required, mitigation works effectively as part of all operational
782 environments and brings risk-informed decisions to support activity across the whole community of
783 national preparedness.

Critical Tasks for Operational Coordination

Steady-state/Ongoing Operations

786 ▪ Establish procedures and build relationships that support mitigation capabilities across the whole
787   community and emphasize a coordinated delivery of mitigation capabilities.

788 ▪ Identify mitigation roles and responsibilities and engage stakeholders across the whole
789   community to support the information sharing process.

790 ▪ Recognize the complexity of various interest groups and integrate organizations across
791   communities, including public-private partnerships.

Incident-driven Operations

793 ▪ Emphasize mitigation technique integration into Incident Command System (ICS) planning
794   cycles by command and general staff representatives, and educate whole community partners.

795 ▪ Use and leverage mitigation products and capabilities, such as the identification of threats and the
796   assessment of risk, to support incident operations.

797 ▪ Capitalize on opportunities for mitigation actions following disasters and incidents.

Change Management

799 ▪ Adapt to evolving risks and changing conditions.

800 ▪ Look for ways to include new stakeholders in mitigation capabilities.

Coordinating Structures and Integration

802 Coordinating structures are organizations, agencies, groups, committees, and teams that carry out
803 activities in support of building resiliency at the national, regional, and local levels. Coordinating
804 structures come in many forms and generally include public sector representatives, private sector
805 organizations (including non-profit and non-governmental organizations), and individuals. At the
806 Federal level, multiple departments or agencies provide guidance, support, and integration in order to
807 facilitate community preparedness by delivering core capabilities. Federal agencies facilitate ongoing
808 communication and coordination of all involved parties. Given the risk-based premise (rather than an
809 incident-based focus), the preponderance of the coordinating structures originate and are sustained at
810 a regional and local scale.

811 The coordinating structures for mitigation must focus on creating a national culture shift that embeds
812 risk management and mitigation in all planning, decisionmaking, and development. Regardless of the
813 level of the coordinating structure, consideration of risk management and mitigation will reduce the
814 Nation's risk and associated consequences. Coordinating structures at the national level, particularly
815 the Federal Government, need to make Federal programs more accessible and reduce the time it takes
816 to go through processes.
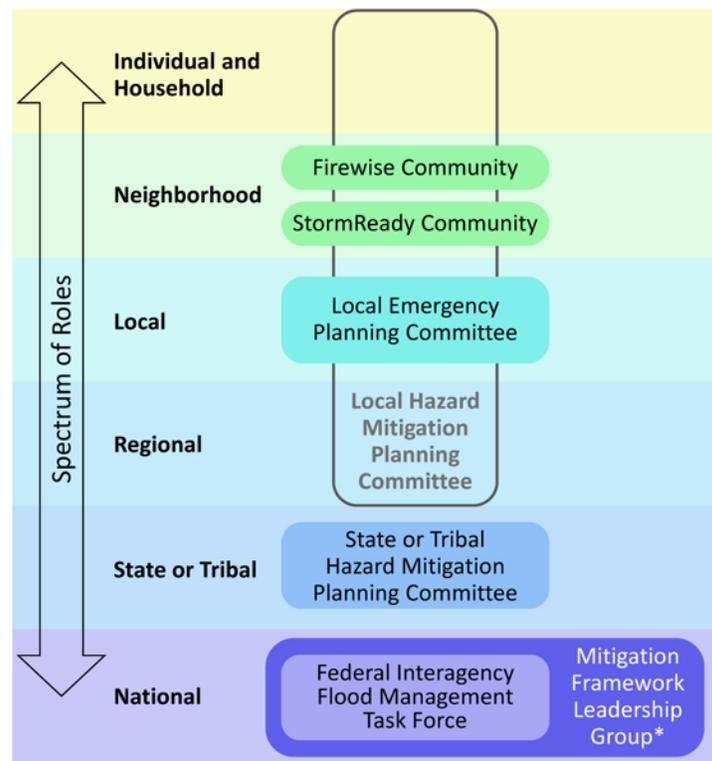
*New coordinating structure

Figure 6: Examples of Coordinating Structures

Local Coordinating Structures

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820 Local communities have specific traits and laws that reflect their history, residents, and geography.
821 The Mitigation Framework seeks to use, not dismiss, the local structures within a community that can
822 build resilience and community vitality. These include, but are not limited to:

823 ▪ Economic development commissions

824 ▪ Public works agencies

825 ▪ Private development enterprises

826 ▪ Planning commissions

827 ▪ Community emergency response teams

828 ▪ Faith-based organizations

829 ▪ Citizen corps

830 ▪ Service groups

831 ▪ Voluntary organizations

832 ▪ Public schools

833 ▪ Resources and referral agencies for children and families

834 ▪ Mutual aid compacts

835 ▪ Local mitigation committees.

836 It may be appropriate to establish neighborhood-level resilience teams that focus on long-term
837 vitality across the systems that makeup a community of economic, health and social, housing,
838 infrastructure, and natural and cultural resources.

839 Through multi-jurisdictional, state, sector, and national coordinating structures, specific efforts
840 should be made to generate and sustain neighborhood and local coordinating structures, which in turn
841 help to build a community's economic vitality and sustainability.

Multi-jurisdictional, State, and Sector Coordinating Structures

842

843 Multi-jurisdictional, state, and sector coordinating structures take on the character of the people and
844 geography they serve. A set of structures has long been in place to advance mitigation. Through the
845 Mitigation Framework, efforts will be made to use and, where appropriate, expand the scope of
846 existing structures to advance mitigation capabilities. National associations and hazard-specific
847 coalitions offer particularly strong avenues to advance and coordinate mitigation capabilities.
848 Existing structures that can advance elements of mitigation capabilities include:

849 ▪ State hazard mitigation planning committees

850 ▪ Long-term recovery task forces

851 ▪ Domestic security groups

852 ▪ Water conservation boards

853 ▪ Coastal commissions

854 ▪ Regional/metropolitan planning organizations.

855 Fusion Centers and Joint Terrorism Task Forces can take particular advantage of threat, hazard, risk,
856 and resilience data generated through mitigation capabilities.

857 Each of the Nation's 18 infrastructure sectors has a Coordinating Council that should increase its
858 attention to resilience and the deployment of mitigation capabilities. Leveraging the efforts of the
859 State, Local, Tribal, and Territorial Government Coordinating Council, the Sector Coordinating
860 Councils can encourage multi-jurisdictional and cross-sector leadership and decisionmaking.

861 Even with the value these existing structures offer, additional integrating structures may be
862 necessary. For example, the Silver Jackets program developed through the U.S. Army Corps of
863 Engineers serves as a prototype for this type of integrating structure at the regional/state level, though
864 it will take on different forms, shapes, and names in each state or watershed. Effective and
865 continuous collaboration between Federal and state agencies is critical to successfully reducing the
866 risk of flooding and other natural disasters in the United States and enhancing response and recovery
867 efforts when such incidents do occur. No single agency has all the answers, but often multiple
868 programs can be combined to provide a cohesive solution. Each of these entities brings a cross-
869 section of leadership from the whole community to work together on behalf of the people they serve.

870 ## *Federal Coordinating Structures*

871 While the preponderance of mitigation activities and the investment therein flows from the local and
872 regional level, Federal agencies play a critical role in supporting and incentivizing these actions
873 through the use of Federal resources. There are currently several Federal national coordinating
874 structures dealing with mitigation under each of the Sector-Specific Agencies (SSAs). The SSAs
875 were created by Presidential Directive in recognition of the statutory and/or regulatory authorities
876 that exist in Federal departments and agencies to leverage expertise and institutional knowledge to
877 enhance the protection and resilience of the Nation's critical infrastructure. In accordance with the
878 National Infrastructure Protection Plan, the SSAs are tasked with building a safer, more secure, and
879 more resilient Nation by deterring, neutralizing, or mitigating the effects of deliberate efforts by
880 terrorists to destroy or exploit elements of the Nation's critical infrastructure. The SSAs are also
881 tasked with strengthening national preparedness, timely response, and rapid recovery of critical
882 infrastructure in the event of an attack, natural disaster, or other emergency.

883 ## *National Coordinating Structure*

884 A Mitigation Framework Leadership Group (MitFLG) is being established to coordinate mitigation
885 efforts across the Federal Government and assess the effectiveness of mitigation capabilities as they
886 are developed and deployed across the Nation.[12] The MitFLG includes relevant Federal agencies;
887 local, state, and tribal organizations; private industry; and the representatives from non-governmental
888 organizations. It is chaired by the Administrator of FEMA. Consistent with Presidential Policy
889 Directive 1, *Organization of the National Security Council System*, the MitFLG will coordinate with
890 the relevant National Security Council Interagency Policy Committees. The MitFLG will have at
891 least an equal number of non-Federal members to ensure appropriate integration of Federal efforts
892 with local, state, tribal, and private industry efforts.

893 Private industry representation on the MitFLG will come through the Critical Infrastructure
894 Partnership Advisory Council (CIPAC), established by the Department of Homeland Security to
895 facilitate effective coordination between Federal infrastructure protection programs with the

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[12] "Federal" efforts refer solely to the Federal Government's supportive role. "National" efforts encompass the whole community, transcending individuals; families; communities; non-profit organizations; businesses; local, state, tribal, territorial, and insular area governments; and the Federal Government.

896   infrastructure protection activities of the private sector and of local, state, and tribal governments.
897   CIPAC represents a partnership between government and infrastructure owners and operators and
898   provides a forum in which they can engage in activities to support and coordinate critical
899   infrastructure protection.

900   The MitFLG will be the coordinating structure for integrating Federal efforts. Related councils, task
901   forces, and committees will coordinate through the MitFLG. Nothing about the formation and
902   operation of the MitFLG is intended to alter or impede the ability of executive departments and
903   agencies to carry out their authorities or perform their responsibilities under law and consistent with
904   applicable legal authorities and other Presidential guidance.

Mitigation Framework Leadership Group
Local, state, tribal, and territorial representatives
Private industry representatives
Non-governmental organization representatives
Federal membership includes, but is not limited to:
▪ Department of Agriculture
▪ Department of Commerce
▪ Department of Defense
▪ Department of Defense Energy
▪ Environmental Protection Agency
▪ General Services Administration
▪ Department of Health and Human Services
▪ Department of Homeland Security (FEMA and the U.S. Coast Guard)
▪ Department of Housing and Urban Development
▪ Department of the Interior
▪ Department of Justice
▪ Small Business Administration
▪ Department of Transportation.

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Integration

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924   While the Mitigation Framework focuses on risk rather than incidents, the mitigation capabilities
925   serve critical roles that inform prevention, protection, response, and recovery efforts. During
926   incidents, the focus must be on public safety and response, yet mitigation resources are still present
927   and will align with the coordinating structure in place for the response phase through the Response
928   mission area. In the immediate aftermath of an event, there is tremendous opportunity to obtain new
929   hazard data as well as develop and implement mitigation techniques in preparation for potential
930   future incidents. After an event, there is political will, immediate experience, and strong
931   opportunities for education that promote mitigation strategies and successful practices. The
932   coordinating structures must take advantage of this to ensure that the opportunities available during
933   this unique time are captured and used.

934   As the transition from response to recovery occurs, mitigation resources will move from the response
935   coordinating structures to the recovery coordinating structures. The transition ensures that mitigation

936 activities are embedded in the recovery process and that every opportunity is taken to rebuild
937 stronger and smarter in a way that increases the resilience of our communities and sustains the
938 economic vitality that is developed before— and recovered after—an incident.

Relationship to Other Mission Areas

940 **Mitigation reduces the impact of disasters by supporting protection and prevention activities,**
941 **easing response, and speeding recovery to create better prepared and more resilient**
942 **communities.** As a critical component of national preparedness, Mitigation capabilities should
943 inform and support the other four preparedness mission areas. Mitigation depends on successful
944 coordination and collaboration with each of the mission areas.

945 Planning, Operational Coordination, and Public Information and Warning are the core capabilities
946 that span all five mission areas. Within the Mitigation Framework, Planning builds upon existing
947 processes, focusing on the incorporation of risk information to inform decision makers. Planning for
948 critical infrastructure will be coordinated between the Protection and Mitigation mission areas to
949 support shared objectives. Pre- and post-disaster recovery planning will also build on the community-
950 based planning performed under mitigation. Under Operational Coordination, mitigation works
951 effectively as part of all operational environments and brings risk-informed decisions to support
952 activity across the whole community of national preparedness. This can include being a part of
953 command and control structures during response and recovery and part of decentralized structures
954 during steady-state operations. For mitigation, Public Information and Warning focuses on sharing
955 information and communicating risk awareness and mitigation messages among elements of the
956 whole community.

957 Mitigation activities exist in all of the national preparedness mission areas. Risk management and
958 resiliency activities take different forms for different mission areas but are based on the same
959 mitigation principles and practices. In particular, threats and hazard identification and risk
960 assessment products become the basis for each of the other mission areas, providing a clear
961 understanding of the impacts from threats and hazards and providing an assessment of risk and
962 resilience in the built environment and community before, during, and after an event. Insights and
963 lessons learned from the other mission areas can be used to inform mitigation activities and resiliency
964 building efforts**.**

Prevention Mission Area

966 Threats and hazard identification and risk assessment information provides decision makers with
967 awareness of and context for a threat or hazard event. Once specific threats and risks are ascertained,
968 communities can then devise appropriate measures for mitigating those threats, thereby ultimately
969 reducing vulnerability. Since prevention is the shared responsibility of all levels of government, the
970 private and non-profit sectors, and individuals, the risk management process is the means by which
971 all stakeholders can integrate their insights and expertise and collaborate for long-term sustainability
972 and overall community resiliency.

Protection Mission Area

974 Activities in the Mitigation and Protection mission areas are typically performed in a steady state or
975 well before an incident. Protection places particular attention on security and deterrence of threats,
976 while mitigation emphasizes achieving resilience by reducing vulnerabilities. Both seek to minimize
977 consequences and have a shared focus on critical infrastructure. Addressing the security of that
978 infrastructure falls within the Protection mission area, while addressing the resilience of the

979 infrastructure falls within the Mitigation mission area. Threats and hazard risk information and
980 analysis are necessary to effectively design successful strategies for mitigation and protection.
981 Integration of risk information, planning activities, and coordinating structures reduces duplication of
982 effort and streamlines risk management actions in both mission areas.

983

984 **Figure 7: Alignment of Mitigation and Protection When Managing Risks[13]**

985 ## Response Mission Area

986 Effective community mitigation efforts directly reduce the required scale of response operations and
987 therefore also reduce the overall financial cost of deployed life safety services. Threats and hazard
988 information and risk assessment data can trigger crucial life-saving and life-sustaining operations,
989 particularly during natural disasters. Tools such as inundation mapping for flood events can be used
990 to plan and determine appropriate life-saving actions. Most importantly, these data can be used to
991 develop a better understanding of the situation in order to deliver information for decisionmaking,
992 while easing transition to recovery. When incidents impede the ability to communicate effectively or
993 develop impact assessments, risk analysis and hazard modeling can provide operational assumptions
994 for first responders to help them understand more about the situation and better prepare to respond.

995 ## Recovery Mission Area

996 Mitigation and recovery share a focus on a sustainable economy and overall resilience. Cross-
997 mission-area integration activities, such as planning, are essential to ensuring that risk avoidance and
998 risk reduction actions are taken during the recovery process. Integrating mitigation actions into pre-
999 and post-disaster recovery plans will provide systematic risk management after the incident, with
1000 effective strategies for an efficient recovery process. During the recovery process actions can be
1001 taken to address the resilience of the economy, housing, natural and cultural resources, infrastructure,
1002 and health and social services. Lessons learned during the recovery process also inform future
1003 mitigation actions. Linking recovery and mitigation breaks the cycle of damage-repair-damage
1004 resulting from rebuilding without mitigation following disasters.

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[13] This graphic was adapted from the National Infrastructure Protection Plan to illustrate the alignment of Mitigation and Protection when managing risks.

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> During recovery, effective planning-related mitigation actions can include moratoriums on reconstruction or development until the vulnerabilities have been accurately assessed and the need for higher or additional regulatory standards to reduce those vulnerabilities has been explored and approved.

1009

1010

Operational Planning

1011 The National Planning Frameworks explain the role of each mission area in national preparedness
1012 and provide the overarching strategy and doctrine for how the whole community builds, sustains, and
1013 delivers the core capabilities. The concepts in the Frameworks are used to guide operational
1014 planning, which provides further information regarding roles and responsibilities, identifies the
1015 critical tasks an entity will take in executing core capabilities, and identifies resource, personnel, and
1016 sourcing requirements. Operational planning is conducted across the whole community, including the
1017 private and non-profit sectors and all levels of government. At the Federal level, each Framework is
1018 supported by a mission-area-specific FIOP. Comprehensive Preparedness Guide (CPG) 101 provides
1019 further information about the various types of plans and guidance on the fundamentals of planning.
1020 The following sections outline how operational planning is applied within the Mitigation mission
1021 area.

1022
Mitigation Operational Planning

1023 The goal of the FIOP is to achieve the desired end-state for Mitigation as described in the National
1024 Preparedness Goal through the delivery of the core capabilities described in this Framework.
1025 Objectives based on the capability targets listed in the National Preparedness Goal shall be included
1026 in the FIOP. Building on the relationships and coordination mechanisms developed while preparing
1027 the Framework, whole community engagement shall continue during development of the FIOP. In
1028 addition to including diverse representation (e.g., seniors and people with access and functional
1029 needs) during the planning process, the FIOP must address the unique needs of these specific
1030 populations and demonstrate a commitment to delivering core capabilities that will serve all members
1031 of the whole community.

1032 Synchronization and integration of the Mitigation and other FIOPs with the remaining mission area
1033 FIOPs is critical to achieving a unified system and approach. This includes horizontal and vertical
1034 integration across plans and among core capabilities. Synchronizing core capabilities across mission
1035 areas should address three integrating and coordinating factors—risk; command, control, and
1036 coordination; and resources. In addition to aligning and integrating plans, the FIOP must describe
1037 processes for ongoing interagency coordination, planning, information sharing, and coordinated
1038 program implementation.

1039
FIOP Structure and Contents

1040 The FIOP should begin with a list and brief description of planning assumptions that establish
1041 context for the Concept of Operations, Authorities and References, and Annexes sections. Next, the
1042 Concept of Operations section will describe how Federal capabilities that support mitigation
1043 activities throughout the whole community will be integrated, synchronized, managed, and delivered.

1044 A concept of operations is a written or graphic statement that clearly and concisely explains what the
1045 decision maker/leader intends to accomplish in an operation using the available resources. The
1046 concept of operations will describe how an organization (or group of organizations) accomplishes a
1047 mission or set of objectives in order to reach a desired end-state. It will include organizing and

1048 assigning responsibilities and will identify primary and supporting Federal departments and agencies
1049 based on existing authorities. Critical tasks, responsibilities, assignments, and resources, and a
1050 supporting resource structure for executing those tasks with detailed resource, personnel, and
1051 sourcing requirements, will be generated for each Federal department and agency.

1052 The FIOP will describe the specific roles and responsibilities for the representatives of the MitFLG.
1053 The MitFLG may be implemented in phases as the group is developed to begin coordinating
1054 mitigation efforts across the Federal Government.

1055 Responsibilities of specific coordinating structures required to ensure delivery of mitigation core
1056 capabilities will be identified and their role during the steady-state, response, and recovery phases
1057 will be explained. For the support mitigation capabilities provided during response and recovery,
1058 thresholds for activation will be identified. The FIOP must describe how structures that deliver
1059 mitigation core capabilities and resources during response and recovery will be integrated with and
1060 support the established coordinating structures of those mission areas.

1061 After describing the concept of operations, the FIOP must list relevant authorities and references to
1062 other resources, including laws, statutes, ordinances, executive orders, regulations, and formal
1063 agreements relevant to mitigation. The list should specify the extent and limits of the authorities
1064 granted, including the conditions under which these authorities become effective.

1065 *FIOP Review Cycle*

1066 The FIOP must describe a review cycle with a clear frequency and timeline, monitoring process, and
1067 assigned roles and responsibilities. It should identify a responsible entity and process for recording
1068 and documenting lessons learned from exercises, disasters, and other incidences that have made a
1069 significant impact on the Mitigation mission area. The section describing the review cycle will also
1070 assign roles and responsibilities to all Federal departments and agencies that will review, adjudicate
1071 policy level issues, and approve the Mitigation FIOP. To ensure continued vertical integration, the
1072 whole community will be involved in the review cycle.

1073 *Department-level Operational Planning*

1074 Each Federal executive department and agency will develop and maintain department-level
1075 operations plans, as deemed necessary by the respective department or agency. Department-level
1076 operations plans describe how the organization will deliver mitigation core capabilities to fulfill its
1077 responsibilities as outlined in the Framework and FIOP. Existing plans, standard operating
1078 procedures, or guides may be used for the development of these plans. The department-level plan
1079 should contain the level of detail necessary to clearly identify the department or agency's specific
1080 critical tasks, responsibilities, and resources required to fulfill its mission area tasks under the FIOP.
1081 The frequency for reviewing and updating these plans will depend on each department or agency's
1082 internal business practices.

Planning Assumptions

1083

1084 ▪ Federal funding exists at current levels. No new funding sources are created by the Framework.

1085 ▪ The Framework is based upon a broad definition of mitigation provided by PPD-8 within the
1086   context of national preparedness that extends beyond its definition in the Stafford Act. Mitigation
1087   activities and actions are not limited to what is eligible within the Stafford Act.

1088 ▪ Current authorizations and legislative language remains in effect. The Mitigation Framework
1089   does not create new requirements for the whole community. The term community resilience is
1090   purposefully used with two distinct meanings.

1091   •   Community resilience as a description of a community's end-state in which it is able to
1092   withstand, rebound, and adapt to the impacts of adverse incidents.

1093   •   Community resilience as a mitigation mission area core capability to lead and facilitate the
1094   integrated effort to recognize, understand, communicate, plan, and address risks so that the
1095   community can develop a set of actions to accomplish mitigation and improve resilience.

Framework Application

1096

1097 The Mitigation Framework can advance operational planning throughout the whole community by
1098 facilitating the goal of a secure and resilient Nation. The Mitigation Framework offers a
1099 comprehensive approach to reducing losses of life and property by lessening the impact of disasters
1100 through development, implementation, and coordination of seven mitigation core capabilities. Non-
1101 governmental organizations, private sector entities, local governments, and state, tribal, territorial,
1102 and insular area governments can draw upon the Framework as a reference when creating or revising
1103 the capabilities described in their own operational planning efforts. The Framework can serve as a
1104 resource for the whole community to ensure that mitigation efforts are appropriately integrated and
1105 synchronized across mission areas.

Supporting Resources

1106

1107 To assist National Mitigation Framework users, FEMA will coordinate the development of a
1108 National Mitigation Framework Resource Clearinghouse, an online repository that will contain
1109 electronic versions of the National Mitigation Framework documents as well as other supporting
1110 materials. The National Mitigation Framework Resource Clearinghouse will provide information,
1111 training materials, and other tools to assist mitigation partners in understanding and executing their
1112 roles under the National Mitigation Framework.

Conclusion

1113

1114 While the National Mitigation Framework is new, mitigation has long existed at every level—from
1115 the family that stores supplies in the basement in case of a tornado to corporate emergency plans for
1116 opening manufacturing plants to the community to local codes and zoning that systemically address
1117 risks in a community's buildings. Building widespread resilience throughout communities, however,
1118 is a priority for our Nation. Responsibility is shared by individuals, businesses, non-profits, local
1119 communities, and the Federal and state governments. Drawing upon support and guidance of the
1120 whole community, risk and vulnerability can be managed and community residents can feel
1121 confident knowing they live in safer, more secure, and resilient communities.

1122 Working together, risks can be recognized and addressed through a culture of preparedness and
1123 mitigation that is built and sustained over time. This begins with a comprehensive understanding of
1124 risk that is translated into plans and actions through partnerships. Aiming toward the ultimate goal of
1125 sustainability and resiliency, mitigation requires a process of continuous learning, adapting to change
1126 (e.g., community, social, and environmental), managing risk, measuring successes, and evaluating
1127 progress.

1128 This Framework is a living document, to be regularly reviewed to evaluate consistency with existing
1129 and new policies, evolving conditions, and experience gained from its use. The first review will be
1130 completed no later than 18 months after the release of the Framework. Subsequent reviews will be
1131 conducted in order to evaluate the effectiveness of the Framework on a quadrennial basis.