



National Preparedness Goal

December 2005



Homeland
Security

DRAFT



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PREFACE

The President directed the development of a National Preparedness Goal (or Goal) in Homeland Security Presidential Directive (HSPD)-8. The Goal reorients how the Federal government proposes to strengthen the preparedness of the United States to prevent, protect against, respond to, and recover from terrorist attacks, major disasters, and other emergencies. The Goal establishes a vision, capabilities, and priorities for national preparedness. It should be utilized in conjunction with the three capabilities-based planning tools referenced in the Goal: the National Planning Scenarios, Universal Task List (UTL), and Target Capabilities List (TCL). Collectively, they identify key requirements that can help guide domestic all-hazards preparedness efforts. They can be viewed online at <https://odp.esportals.com> or <https://www.llis.dhs.gov>.

Development of the Goal and the planning tools involved extensive coordination with other Federal departments and agencies and consultation with State, local, and tribal governments, the private sector, and non-governmental organizations. These documents are not micro-level plans that tell officials how to execute their assigned missions. They do not impose a specific array of assets on each community, or a specific funding formula on each program. Rather, these documents identify core capabilities we want to achieve and sustain as a Nation and therefore, will transform how the Federal government proposes to invest homeland security funding in order to achieve the highest possible readiness.

Release of this document marks the formal establishment of the National Preparedness Goal, based on approval by the President through the Homeland Security Council. At this point, we must incorporate the tremendous work that has been completed to date into annual cycles for budget development and program implementation at all levels of government. To facilitate that effort, the National Preparedness Guidance issued in April 2005 will be replaced by a Letter of Instruction included within this Goal that provides guidance to Federal departments and agencies; State, local, and tribal governments; and private sector entities and non-governmental organizations, as appropriate, on how to ensure that their preparedness efforts are consistent with and support the Goal. We must also establish a structure and process for the ongoing management and maintenance of the Goal and the planning tools.

We will continue to work closely with our partners to implement and refine these documents in order to help ensure the preparedness of the Nation in a changing strategic environment. I look forward to working with you as we begin the process to assess and report on the status of the Nation's overall level of preparedness. *One team, one Goal.*

Michael Chertoff
Secretary
Department of Homeland Security

PARTNERS

In order to build consensus on the Goal and the planning tools, the Department of Homeland Security (DHS) sought the involvement of hundreds of homeland security partners from Federal, State, local, and tribal governments, the private sector; and non-governmental organizations. DHS provided opportunities for involvement through steering committees, working groups, national conferences, and broad national reviews of multiple drafts of the Goal and the planning tools.

DHS coordinated with the following Federal departments and agencies in the development of the Goal and the planning tools:

- Department of Agriculture
- Department of Commerce
- Department of Defense
- Department of Health and Human Services
- Department of Housing and Urban Development
- Department of Energy
- Department of Interior
- Department of Justice
- Department of Labor
- Department of State
- Department of Transportation
- Department of Treasury
- Department of Veterans Affairs
- Central Intelligence Agency
- Environmental Protection Agency
- Federal Bureau of Investigation
- National Aeronautics and Space Administration
- Nuclear Regulatory Commission
- Office of Personnel Management
- Small Business Administration
- United States Postal Service
- Executive Office of the President
- Homeland Security Council
- Office of Management and Budget

DHS consulted with State, local, and tribal governments, private sector entities, and non-governmental organizations in the development of the Goal and the planning tools. Representatives included practitioners from the emergency management, fire service, homeland security, law enforcement, public health, and public works disciplines. DHS also provided executives in the States and Territories with briefings on the Goal and the overall HSPD-8 effort, and gathered their feedback regarding issues and recommendations. DHS used electronic mail distribution lists including more than 1,500 individual points-of-contact for State, local, and tribal governments, and national associations to disseminate drafts for broad national review. Many of these points-of-contact forwarded the drafts to their organizational components and membership, making the final count of reviewers difficult to estimate.

The Goal was submitted to the President through the Homeland Security Council for formal review and approval. The Domestic Threat Reduction and Incident Management Policy Coordinating Committee and the Deputies Committee of the Homeland Security Council approved the Goal, to include the vision, capabilities, and priorities.

LETTER OF INSTRUCTION

The National Preparedness Goal (or Goal) is formally established upon issuance and supersedes the Interim National Preparedness Goal issued on March 31, 2005.

Requirements

This section summarizes the tasking from the President to the Department of Homeland Security (DHS) and other Federal departments and agencies to support full implementation of the Goal. It also provides recommendations to State, local, and tribal governments; non-governmental organizations; the private sector; and citizens to support full implementation of the Goal. These recommendations will be supported by changes in requirements for receiving Federal preparedness assistance, annual Federal program guidance, and Federal regulations to the extent permitted by law.

Department of Homeland Security

As required by the President in HSPD-8, DHS will:

- Coordinate with other appropriate Federal departments and agencies and consult with State, local, and tribal governments to develop (and maintain) the Goal, including readiness priorities, targets, and metrics, and elements that support the Goal, including standards for preparedness assessments and strategies and a system for assessing the Nation's overall preparedness to respond to major events, especially those involving acts of terrorism.
- Coordinate with other appropriate Federal departments and agencies to establish a single point of access to Federal preparedness assistance program information.
- Submit through the Homeland Security Council recommendations of specific Federal department and agency programs to be part of the coordinated approach and fully implement a closely coordinated interagency grant process.
- Coordinate with other appropriate Federal departments and agencies to review and approve strategies submitted by the States. To the extent permitted by law, predicate Federal preparedness assistance at all levels of government on adoption of Statewide comprehensive all-hazards preparedness strategies that are consistent with the Goal, assess the most effective ways to enhance preparedness, address areas facing higher risk, especially to terrorism, and address local government concerns and Citizen Corps efforts.
- Base allocations of Federal preparedness assistance to the States on assessments of population concentrations, critical infrastructures, and other significant risk factors, particularly terrorism threats, to the extent permitted by law. Federal preparedness assistance will support State, local, and tribal entities' efforts including planning, training, exercises, interoperability, and equipment acquisition for major events as well as capacity building for prevention activities such as information gathering, detection, deterrence, and collaboration related to terrorist attacks. Such assistance is primarily intended to build capacity to address major events, especially terrorism.

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- Coordinate with other appropriate Federal departments and agencies to ensure that first responder preparedness assistance supports and is consistent with the Goal.
 - Collect reports annually from other appropriate Federal departments and agencies on the obligation, expenditure status, and the use of funds associated with Federal preparedness assistance programs.
 - Coordinate with State, local, and tribal officials, first responder organizations, the private sector, and other Federal departments and agencies to establish and implement streamlined procedures for development and adoption of appropriate first responder equipment standards that support nationwide interoperability and other capabilities consistent with the Goal.
 - Coordinate equipment programs with other appropriate Federal departments and agencies to ensure that, to the extent permitted by law, equipment purchased through Federal preparedness assistance for first responders conforms to the same standards.
 - Coordinate with other appropriate Federal departments and agencies and consult with State, local, and tribal governments to develop plans to identify and address national first responder equipment research and development needs that support the Goal based upon assessments of current and future threats.
 - Coordinate with other appropriate Federal departments and agencies and consult with State, local, and tribal governments to establish and maintain a comprehensive training program to meet the Goal;
 - Coordinate with other appropriate Federal departments and agencies and collaborate with State, local, and tribal governments and appropriate private sector entities to establish and maintain a national exercise program to support the Goal.
 - Develop and maintain a lessons learned information system to support the Goal. Collect information from other Federal departments and agencies and State, local, and tribal governments to the extent permitted by law.
 - Undertake actions to support the Goal, including adoption of quantifiable performance measures for Federal preparedness in the areas of training, planning, equipment, and exercises, to the extent permitted by law.
 - Maintain specialized Federal assets such as teams, stockpiles, and caches at levels consistent with the Goal for activities set forth in the National Response Plan and other appropriate documents.
 - Ensure relevant Federal regulatory requirements are consistent with the Goal.
 - Coordinate with other Federal civilian departments and agencies to develop and maintain a Federal response capability inventory that includes the performance parameters of the capability, the timeframe within which the capability can be brought to bear in an incident, and the readiness of the capability.
 - Work with other appropriate Federal departments and agencies, State, local, and tribal governments, and the private sector to encourage active citizen participation and involvement in preparedness efforts and periodically review and identify best practices for integrating citizens into local preparedness efforts.
 - Consult with other Federal departments and agencies, State, local, and tribal governments, and non-governmental organizations to develop a comprehensive plan to provide accurate and timely preparedness information to interested parties and mechanisms for coordination.
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- Provide to the President an annual status report of the Nation's level of preparedness, including State capabilities, readiness of Federal civil response assets, utilization of mutual aid, and effectiveness of how Federal preparedness assistance programs support the Goal.

Other Federal Departments and Agencies

As required by the President in HSPD-8, other Federal departments and agencies will:

- Coordinate with DHS to help develop (and maintain) the Goal, including readiness priorities, targets, and metrics, and elements that support the Goal, including standards for preparedness assessments and strategies and a system for assessing the Nation's overall preparedness to respond to major events, especially those involving acts of terrorism.
- Coordinate with DHS to help establish a single point of access to Federal preparedness assistance program information.
- Coordinate with DHS to help review and approve strategies submitted by the States. To the extent permitted by law, predicate Federal preparedness assistance at all levels of government on adoption of Statewide comprehensive all-hazards preparedness strategies that are consistent with the Goal, assess the most effective ways to enhance preparedness, address areas facing higher risk, especially to terrorism, and address local government concerns and Citizen Corps efforts.
- Base allocations of Federal preparedness assistance to the States on assessments of population concentrations, critical infrastructures, and other significant risk factors, particularly terrorism threats, to the extent permitted by law. Federal preparedness assistance will support State, local, and tribal entities' efforts including planning, training, exercises, interoperability, and equipment acquisition for major events as well as capacity building for prevention activities such as information gathering, detection, deterrence, and collaboration related to terrorist attacks. Such assistance is primarily intended to build capacity to address major events, especially terrorism.
- Coordinate with DHS to help ensure that first responder preparedness assistance supports and is consistent with the Goal.
- Provide reports annually to DHS on the obligation, expenditure status, and the use of funds associated with Federal preparedness assistance programs.
- Coordinate with DHS to help establish and implement streamlined procedures for development and adoption of appropriate first responder equipment standards that support nationwide interoperability and other capabilities consistent with the Goal.
- Coordinate equipment programs with DHS to help ensure that, to the extent permitted by law, equipment purchased through Federal preparedness assistance for first responders conforms to the same standards.
- Coordinate with DHS to help develop plans to identify and address national first responder equipment research and development needs that support the Goal based upon assessments of current and future threats.
- Coordinate with DHS to help establish and maintain a comprehensive training program to meet the Goal;

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- Coordinate with DHS to help establish and maintain a national exercise program to support the Goal.
 - Provide lessons learned information to DHS to the extent permitted by law.
 - Undertake actions to support the Goal, including adoption of quantifiable performance measures for Federal preparedness, in the areas of training, planning, equipment, and exercises, to the extent permitted by law.
 - Maintain specialized Federal assets such as teams, stockpiles, and caches at levels consistent with the Goal for activities set forth in the National Response Plan and other appropriate documents.
 - Ensure relevant Federal regulatory requirements are consistent with the Goal.
 - Coordinate with DHS to help develop and maintain a Federal response capability inventory that includes the performance parameters of the capability, the timeframe within which the capability can be brought to bear in an incident, and the readiness of the capability.
 - Work with DHS to help encourage active citizen participation and involvement in preparedness efforts and periodically review and identify best practices for integrating citizens into local preparedness efforts.
 - Consult with DHS to help develop a comprehensive plan to provide accurate and timely preparedness information to interested parties and mechanisms for coordination.

State, Local, and Tribal Governments and Non-Governmental Organizations

As requested by the President in HSPD-8, State, local, and tribal governments and non-governmental organizations are encouraged to:

- Consult with DHS to help develop (and maintain) the Goal, including readiness priorities, targets, and metrics, and elements that support the Goal, including standards for preparedness assessments and strategies and a system for assessing the Nation's overall preparedness to respond to major events, especially those involving acts of terrorism.
- Submit Statewide comprehensive all-hazards preparedness strategies to DHS that are consistent with the Goal, assess the most effective ways to enhance preparedness, address areas facing higher risk, especially to terrorism, and address local government concerns and Citizen Corps efforts.
- Coordinate with DHS to help establish and implement streamlined procedures for development and adoption of appropriate first responder equipment standards that support nationwide interoperability and other capabilities consistent with the Goal.
- Consult with DHS to help develop plans to identify and address national first responder equipment research and development needs that support the Goal based upon assessments of current and future threats.
- Consult with DHS to help establish and maintain a comprehensive training program to meet the Goal;
- Collaborate with DHS to help establish and maintain a national exercise program to support the Goal.
- Provide lessons learned information to DHS to the extent permitted by law.

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- Work with DHS to encourage active citizen participation and involvement in preparedness efforts and periodically review and identify best practices for integrating citizens into local preparedness efforts.
 - Consult with DHS to help develop a comprehensive plan to provide accurate and timely preparedness information to interested parties and mechanisms for coordination.

Private Sector

As requested by the President in HSPD-8, appropriate private sector entities are encouraged (or in some cases required under law) to:

- Coordinate with DHS to help establish and implement streamlined procedures for development and adoption of appropriate first responder equipment standards that support nationwide interoperability and other capabilities consistent with the Goal.
- Collaborate with DHS to help establish and maintain a national exercise program to support the Goal.
- Comply with relevant Federal regulatory requirements that are consistent with the Goal.
- Work with DHS to help encourage active citizen participation and involvement in preparedness efforts and periodically review and identify best practices for integrating citizens into local preparedness efforts.

Citizens

As referenced by the President in HSPD-8, DHS coordinates Citizen Corps. Citizen Corps engages Federal departments and agencies, State, local, and tribal governments, non-governmental organizations, and the private sector to:

- Conduct awareness and outreach campaigns to deliver the “prepare, train, and volunteer” message and motivate everyone in America to take action to reduce their vulnerability;
- Expand citizen training and volunteer opportunities;
- Promote all-hazards preparedness and identify key areas where citizens can assist local emergency responders;
- Focus on special needs populations, such as people with disabilities, language barriers, cultural differences, youth, and seniors;
- Develop standards, recognition incentives, and assessment and evaluation criteria for citizen preparedness and participation;
- Expand the role of the private sector as a community stakeholder and as a delivery mechanism for citizen education, training, and volunteer service opportunities;
- Share lessons learned and best practices from communities around the country; and
- Integrate and institutionalize citizen participation in homeland security efforts, including State strategies, emergency operations plans, exercises (from local to national), critical infrastructure protection, and transportation security.



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TABLE OF CONTENTS

PREFACE	iii
PARTNERS	iv
LETTER OF INSTRUCTION	v
1.0 INTRODUCTION	1
2.0 VISION	1
2.1 The Goal Uses NIMS and Supports the NRP and NIPP.....	2
2.2 The Goal is Risk-Based and All-Hazards	3
2.3 The Goal is Capabilities-Based.....	4
4.0 PRIORITIES	8
4.1 Implement the National Incident Management System and National Response Plan.....	14
4.2 Expand Regional Collaboration.....	15
4.3 Implement the National Infrastructure Protection Plan	16
4.4 Strengthen Information Sharing and Collaboration Capabilities.....	17
4.5 Strengthen Interoperable Communications Capabilities	18
4.6 Strengthen CBRNE Detection, Response, and Decontamination Capabilities.....	19
4.7 Strengthen Medical Surge and Mass Prophylaxis Capabilities	20
5.0 ELEMENTS THAT SUPPORT THE GOAL	21
5.1 Metrics and Standards.....	21
5.2 A System for Assessing the Nation’s Overall Preparedness	23
5.3 Annual Status Reports.....	23
6.0 GOAL MANAGEMENT AND MAINTENANCE	24
APPENDIX A—Terms and Definitions	A-1
APPENDIX B—Acronyms and Abbreviations	B-1
APPENDIX C—Homeland Security Presidential Directive 8	C-1
APPENDIX D—Capabilities-Based Planning Overview	D-1

LIST OF FIGURES

Figure 1: The Goal in Context	2
Figure 2: Risk-Based All-Hazards Approach	3
Figure 3: Capabilities-Based Approach.....	5
Figure 4: Capabilities and Associated Outcomes from the TCL	8
Figure 5: National Priorities and Associated Capabilities	13
Figure 6: Preparedness Assessments Using the Capabilities-Based Approach.....	22
Figure D-1: National Planning Scenarios	D-2
Figure D-2: Capabilities-Based Planning Process	D-Error! Bookmark not defined.
Figure D-3: Elements of Capability.....	D-Error! Bookmark not defined.

Questions, comments, and suggested improvements related to this document are encouraged. Inquiries, information, and requests for additional copies should be submitted to:

U.S. Department of Homeland Security
Office of State and Local Government Coordination and Preparedness
(ATTN: Office for Policy, Initiatives, and Analysis)
810 7th Street, NW
Washington, DC 20531

The National Preparedness Goal is available on the Office for Domestic Preparedness (ODP) Secure Portal (<https://odp.esportals.com>) and the Lessons Learned Information Sharing system (<https://www.llis.dhs.gov>).

For more information on HSPD-8 implementation, go to <http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm>

1.0 INTRODUCTION

On December 17, 2003, the President issued Homeland Security Presidential Directive (HSPD) 8: *National Preparedness* (see Appendix C). The purpose of HSPD-8 is to establish policies to strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other emergencies. HSPD-8 tasks the Secretary of Homeland Security, in coordination with the heads of other appropriate Federal departments and agencies and in consultation with State, local, and tribal governments to develop a national domestic all-hazards preparedness goal (or Goal). The Secretary of Homeland Security charged the Executive Director of the Office of State and Local Government Coordination and Preparedness (DHS/SLGCP) with responsibility to lead this effort on his behalf. The Goal establishes a vision, capabilities, and priorities to help guide efforts to strengthen national preparedness.

Federal departments and agencies are required, and other partners are encouraged to review, the Goal and to coordinate with DHS/SLGCP to ensure that their preparedness activities are consistent with and support the Goal to the extent permitted by law. The Goal provides the means for the Nation to answer three fundamental questions:

- How prepared do we need to be?
- How prepared are we?
- How do we prioritize efforts to close the gap?

2.0 VISION

The vision for the National Preparedness Goal is:

To engage Federal, State, local, and tribal entities, their private and non-governmental partners, and the general public to achieve and sustain risk-based target levels of capability to prevent, protect against, respond to, and recover from major events in order to minimize the impact on lives, property, and the economy.

The vision recognizes that national preparedness is a shared responsibility. Each partner has a role to play, consistent with its authorities and resources. Governmental entities are responsible for leading efforts within their borders and involving the private sector, non-governmental organizations, and citizens as appropriate. The vision addresses preparedness for the four mission areas of prevention, protection, response, and recovery; mitigation activities are embedded in preparedness for all mission areas.¹ The vision emphasizes major events, which include terrorist attacks, major disasters, and other emergencies. Finally, the vision acknowledges that national preparedness involves not only achieving but also sustaining capability at target levels that reflect informed choices about how to best manage risk and reduce impact.

¹ National Incident Management System (NIMS), page 34.

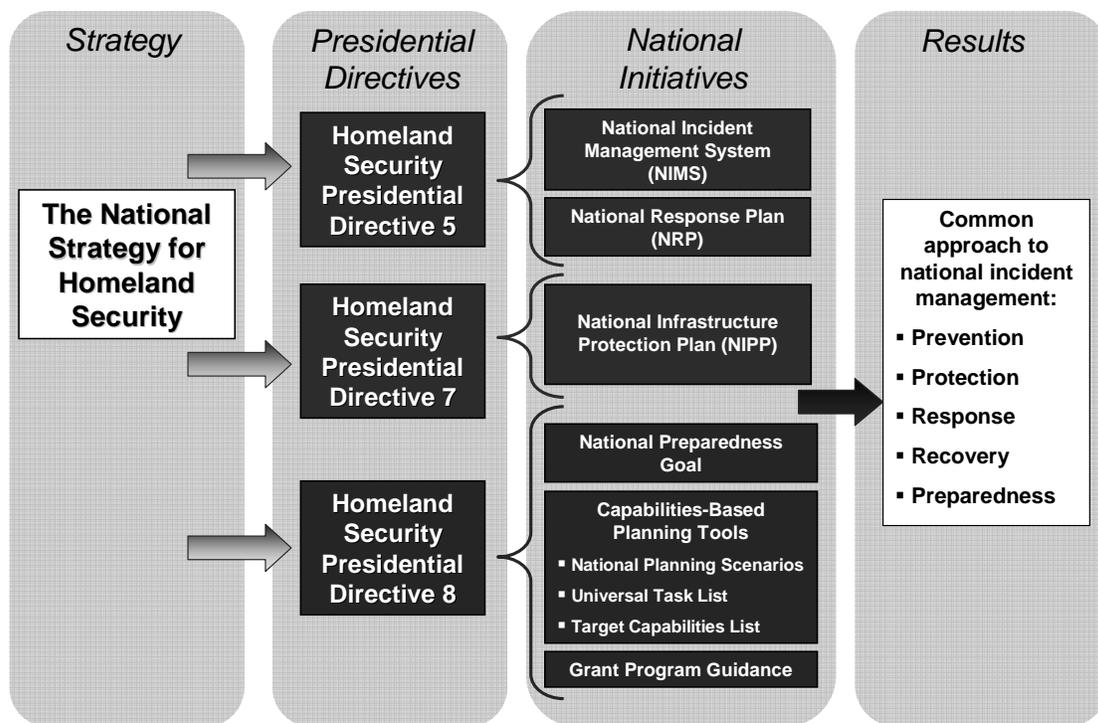
2.1 The Goal Uses NIMS and Supports the NRP and NIPP

HSPD-8 supports and complements two other presidential directives which provide context for the National Preparedness Goal (see Figure 1).

HSPD-5, “*Management of Domestic Incidents*,” requires DHS to lead a coordinated national effort with other Federal departments and agencies and State, local, and tribal governments to establish the National Incident Management System (NIMS) and the National Response Plan (NRP). The Goal uses NIMS, particularly the NIMS component on preparedness. The Goal will help guide entities at all levels of government to develop and maintain the capabilities to prevent, respond to, and recover from major events (or Incidents of National Significance) as described in the NRP.

HSPD-7, “*Critical Infrastructure Identification, Prioritization, and Protection*,” requires DHS to work closely with other Federal departments and agencies, State, local, and tribal governments, and the private sector to produce a National Infrastructure Protection Plan (NIPP). The Goal will help guide entities at all levels of government to develop and maintain the capabilities to identify, prioritize, and protect critical infrastructure and key resources against terrorist attacks as described in the NIPP.

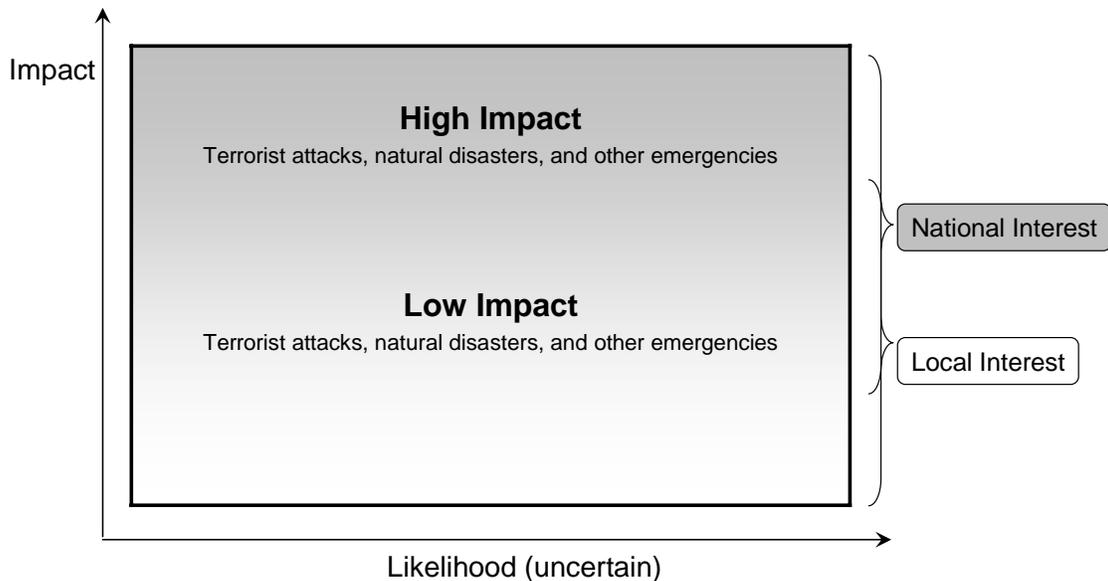
Figure 1: The Goal in Context



2.2 The Goal is Risk-Based and All-Hazards

The National Preparedness Goal adopts a risk-based all-hazards approach (see Figure 2). A risk-based approach involves reorienting preparedness activities to enable officials to make informed choices that best manage risk and reduce impact. Risk is the product of threat, vulnerability, consequence, and likelihood of occurrence. While some of these risk factors can be managed to varying degrees, the likelihood of occurrence of an event is highly uncertain. The likelihood of terrorist attacks are even more uncertain than natural disasters and other kinds of emergencies.

Figure 2: Risk-Based All-Hazards Approach



Presidential policy has supported the national interest in a risk-based all-hazards approach for decades. In 1987, President Reagan issued National Security Decision Directive 259, which stated that:

...the civil defense program will continue to support all-hazards integrated emergency management at the State and local levels, to the extent that this is consistent with and contributes to preparedness of the Nation in the event of an attack, whether by nuclear or non-nuclear means.

In 1992, President George H.W. Bush issued National Security Directive 66, which stated that:

...the civil defense program will focus on the development, jointly with State and local governments, of the required capabilities common to all catastrophic emergencies and those unique to attack emergencies, thus ensuring that the use of civil defense funds is consistent with, contributes to, and does not detract from attack preparedness.

In 2003, President George W. Bush issued HSPD-8, which stated that:

Federal preparedness assistance will support State and local entities' efforts including planning, training, exercises, interoperability, and equipment acquisition for major events as well as capacity building for prevention activities such as information gathering, detection, deterrence, and collaboration related to terrorist attacks. Such assistance is not primarily intended to support existing capacity to address normal local first responder operations, but to build capacity to address major events, especially terrorism.

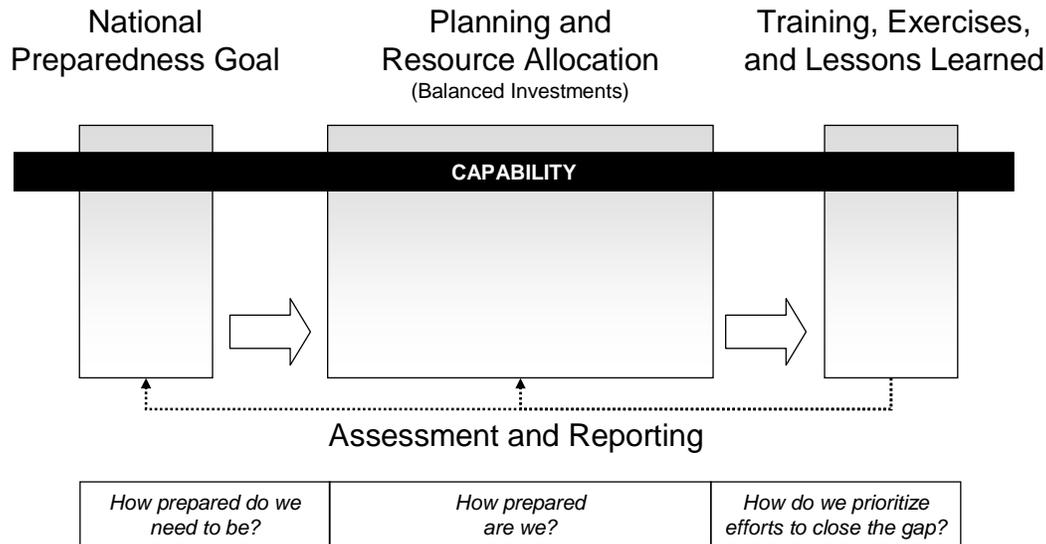
While the terminology has changed over the years, the objective remains the same: to share responsibility to manage risk, recognizing the differences between national interests and local interests. The national interest focuses on high impact threats and hazards, while the local interest focuses on high likelihood threats and hazards. If likelihood is uncertain, then building capabilities to manage the impacts resulting from a wide range of potential threats and hazards becomes the primary consideration in a risk-based all-hazards approach.

2.3 The Goal is Capabilities-Based

The National Preparedness Goal adopts a capabilities-based approach (see Figure 3). A capabilities-based approach involves reorienting preparedness activities to enable officials to make informed choices that best strengthen capabilities. A capability provides the means to achieve a measurable outcome. A capability consists of any combination of properly planned, organized, equipped, trained, and exercised personnel that achieves that outcome.

Capabilities provide the basic building blocks that entities at all levels of government, working with their private and non-governmental partners and citizens as appropriate, can use to define, measure, and achieve outcomes. Capabilities provide a framework for development and maintenance of the National Preparedness Goal and implementation of the Goal through planning and resource allocation; training, exercises, and lessons learned; and assessment and reporting. For information on capabilities-based planning, please refer to Appendix D.

Figure 3: Capabilities-Based Approach



Source: HSPD-8 Integrated Concept Teams, August 2004. DHS/SLGCP convened Integrated Concept Teams with representatives from Federal, State, local, and tribal entities and national associations for a ninety-day intensive effort in 2004 to develop documents to guide HSPD-8 implementation.

HSPD-8 states that, to the extent permitted by law, Federal departments and agencies and the States should take action to make the following preparedness programs and activities consistent with and support the National Preparedness Goal:

- Statewide preparedness strategies,
- Federal first responder preparedness assistance for all levels of government,
- First responder equipment standards,
- Preparedness research and development activities,
- A comprehensive training program,
- A national exercise program and multi-year planning system,
- Performance measurements for Federal preparedness,
- Specialized Federal assets, and
- Relevant Federal regulatory requirements.

Many of these programs and activities are already consistent with the Goal and simply need to be implemented in closer coordination using the capabilities-based approach. Nothing in HSPD-8 alters or impedes the ability of Federal departments and agencies, or the States, to perform

their responsibilities under law. HSPD-8 is intended only to improve the way in which national preparedness is managed and coordinated.

The National Strategy for Homeland Security, issued by the President in July 2002, states that the Nation must:

...develop interconnected and complementary homeland security systems that are reinforcing rather than duplicative and that ensure essential requirements are met [and] ...provide a framework to align the resources of the Federal budget directly to the task of securing the homeland.

A capabilities-based approach will help guide efforts to develop interconnected and complementary systems and align resources on a national scale.

3.0 CAPABILITIES

HSPD-8 states that the National Preparedness Goal will:

...establish measurable readiness targets ...that appropriately balance the potential threat and magnitude of terrorist attacks, major disasters, and other emergencies with the resources required to prevent, respond to, and recover from them.

It is difficult to establish measurable readiness targets that appropriately balance risk with resources in a national document when both the risk and resource base vary considerably across the Nation. To address that challenge, the National Preparedness Goal utilizes and references three capabilities-based planning tools:

- The **National Planning Scenarios** illustrates the potential threat and magnitude of terrorist attacks, major disasters, and other emergencies.
- The **Universal Task List (UTL)** provides the tasks to use to identify the resources required to prevent, respond to, and recover from them.
- And the **Target Capabilities List (TCL)** provides the capabilities and outcomes to use to identify measurable readiness targets.

The National Preparedness Goal incorporates the capabilities and associated outcomes from the TCL (see Figure 4). The companion TCL describes how to determine the risk-based target levels of capability called for in the vision for the National Preparedness Goal.

Using the capabilities-based approach, a key policy question becomes:

- What is the best way to identify geographic areas across the Nation that share risk and should therefore engage in joint planning and share resources to establish, achieve, and sustain risk-based target levels for these capabilities?

The intent is to identify standard geographic areas that support the capabilities-based approach and to strengthen relationships among entities within those areas for joint operations and preparedness purposes. States are encouraged to identify geographic areas or regions, in consultation with local and tribal governments and other partners. States will preserve flexibility to adjust the areas as necessary to best support the intent of the capabilities-based approach. DHS will facilitate efforts to identify interstate areas where appropriate.

Areas will form working groups that consist of representatives of the member entities, including local and tribal governments and other partners as appropriate. Area working groups will determine risk-based target levels for each capability based on differences in significant risk factors that drive the demand for that capability, to include: population, population density, critical infrastructure, and threat. Using this approach, risk-based target levels can be customized for each capability and each geographic area across the Nation. A key feature of this approach is that the risk-based target levels apply to the geographic area as a whole based on the cumulative requirements for the entities within the area. It is up to the area working group to determine how to meet the target levels, decide where they should be built and maintained to enable all entities within the area to meet the performance objectives and establish joint priorities for the use of limited resources.

Regional approaches support efforts to expand regional collaboration, which is an overarching national priority for the Goal. As explained in the Letter of Instruction, the Goal will be supported by changes in requirements for receiving Federal preparedness assistance, annual Federal program guidance, and Federal regulations to the extent permitted by law.

Figure 4: Capabilities and Associated Outcomes from the TCL

Capability	Outcome
Common	
Planning	Plans incorporate an accurate hazard analysis and risk assessment and ensure the ability to prevent, protect against, respond to, and recover from acts of terrorism, natural disasters, and other emergencies.
Communications	A continuous flow of critical information is maintained as needed among multi-jurisdictional and multi-disciplinary emergency responders, command posts, agencies, and governmental officials for the duration of the emergency response operation in compliance with National Incident Management System (NIMS). To accomplish this, the jurisdiction has a continuity of operations plan for public safety communications to include the consideration of critical components, networks, support systems, personnel, and an appropriate level of redundant communications systems in the event of emergency.
Risk Management	Federal, state, local, tribal and private sector entities have the ability to identify and assess risks, prioritize and select appropriate protection, prevention, and mitigation solutions based on reduction of risk, and monitor the outcomes of allocation decisions and undertake corrective actions.
Citizen Preparedness and Participation	The American people have the capability (i.e., the necessary information, knowledge, skills, and abilities) to help prevent, protect against, respond to, and recover from all threats and hazards. Through collaboration among all levels of government, emergency responders, the private sector, civic organizations, faith-based groups, NGOs, schools, and the general public, the public is educated in the four mission areas of preparedness; citizens are trained in life saving first aid, response skills, and surge capacity roles; and citizens participate in exercises, volunteer programs, and surge capacity support.
Prevent Mission Area	
Information Gathering and Recognition of Indicators and Warnings	Locally generated threat and other criminal and/or terrorism-related information is identified, gathered, entered into an appropriate data/retrieval base, and provided to appropriate analysis centers.
Intelligence Analysis and Production	This capability should produce timely, accurate, and actionable intelligence/information products in support of prevention, awareness, deterrence, response, and continuity planning operations.
Intelligence / Information Sharing and Dissemination	Effective and timely sharing of information and intelligence occurs across Federal, State, local, tribal, regional, and private sector entities to achieve coordinated awareness of, preparedness for, protection against, prevention of, and response to a threatened or actual domestic terrorist attack, major disaster, or other emergency.
Law Enforcement Investigation and Operations	Suspects involved in criminal activities related to homeland security are successfully deterred, detected, disrupted, investigated, and apprehended. All counterterrorism-related cases, including not only primary cases, but also secondary, tertiary, and obtusely-related cases are aggressively prosecuted.

Capability	Outcome
CBRNE Detection	Chemical, biological, radiological, nuclear, and/or explosive (CBRNE) materials are rapidly detected, identified, and safely managed at borders, critical locations, events, and incidents
Protect Mission Area	
Critical Infrastructure Protection	Critical infrastructure is identified; risk assessments are conducted, documented, and standardized; assets are prioritized; decisions are made regarding protective and preventive programs; protective and preventive plans are implemented; and the risk to, vulnerability of, and consequence of attack to critical infrastructure is reduced.
Food and Agriculture Safety and Defense	Threats to food and agriculture safety are prevented, mitigated, and eradicated, trade in agriculture products is restored, affected products are disposed of, affected facilities are decontaminated, confidence in the U.S. food supply is maintained, and public, animal, and plant health are protected and effectively communicate with all stakeholders.
Public Health Epidemiological Investigation	Potential exposure and disease is identified rapidly (determine exposure, mode of transmission and agent, and interrupt transmission to contain the spread of the event and reduce number of cases). Confirmed cases are reported immediately to all relevant public health, food regulatory, environmental regulatory and law enforcement agencies. Suspected cases are investigated promptly, reported to relevant public health authorities, and accurately confirmed to ensure appropriate preventive or curative countermeasures are implemented. An outbreak is defined and characterized; new suspect cases are identified and characterized based on case definitions on an ongoing basis; relevant clinical specimens are obtained and transported for confirmatory laboratory testing; the source of exposure is tracked; methods of transmission identified; effective mitigation measures to the public, providers and relevant agencies are recommended, as appropriate.
Public Health Laboratory Testing	Chemical, radiochemical, and biological agents causing, or having the potential to cause, widespread illness or death are rapidly detected and accurately identified by the public health laboratory within the jurisdiction or through network collaboration with other appropriate local, State, and Federal laboratories. The public health laboratory, working in close partnership with public health epidemiology, environmental health, law enforcement, agriculture and veterinary officials, produce timely, accurate data to support ongoing public health investigations and the implementation of appropriate preventative or curative counter-measures. Public health laboratory activities will also be coordinated with public safety, law enforcement, hospitals, and other appropriate agencies.
Respond Mission Area	
Onsite Incident Management	Establish system to manage incident effectively, integrating the facilities, resources (personnel, equipment, supplies, and communications), and procedures using a common organizational structure, or ICS.

Capability	Outcome
Emergency Operations Center Management	The EOC is activated, staffed, and managed for a pre-planned or no-notice event; multi/interagency activities, such as communications (including direct and indirect voice and data interoperability), resource management, and mutual aid, are coordinated; incident action planning activities within the EOC are conducted at regular periodic intervals. Situation reports are produced at regular periodic intervals. The EOC could be deactivated as the emergency transitions into the recovery phase.
Critical Resource Logistics and Distribution	Critical resources are inventoried and tracked, available to incident managers and emergency responders upon request for proper distribution and to aid disaster victims in a cost-effective and timely manner, and are demobilized as necessary.
Volunteer Management and Donations	The value of volunteers and charitable donations is maximized and does not hinder the response and recovery activities.
Responder Safety and Health	No additional illnesses or injury to any first responder, first receiver, medical facility staff member, or other skilled support personnel result from a preventable exposure to secondary trauma, chemical/radiological release, infectious disease, or physical and emotional stress after the initial incident or during decontamination and incident followup.
Public Safety and Security Response	The incident and coordination of public safety resources needed to secure the incident scene are assessed, access control is managed, security support is provided to other response operations (and related critical locations, facilities, and resources), and emergency public information is aided, while protecting first responders and mitigating any further effect to the public at risk.
Animal Health Emergency Support	Foreign animal disease is prevented from entering the US by protecting our critical infrastructure and key assets. In the event of an incident, animal disease is detected as early as possible, exposure of livestock to foreign diseases is reduced, immediate and humane actions to eradicate the outbreak are implemented, continuity of agriculture and related business is maintained, economic damage is limited, and public and animal health and the environment are protected. Trade in agriculture products and domestic and international confidence in the US food supply are maintained and/or restored. Agricultural industries are returned to their prior productivity, to include replenishment of the domestic livestock and other domesticated animals.
Environmental Health and Vector Control	After the first event, new cases due to preventable exposure to disease or contamination including exposure from communicable diseases that are secondary to the primary event are minimized. The at-risk population (e.g., exposed or potentially exposed) receives the appropriate protection (countermeasures) in a timely manner. In the event of exposure to contamination (e.g., in the case of radiation exposure), the amount of exposure subsequent to the event is minimized.
Explosive Device Response Operations	Threat assessments are conducted and the area is rendered safe. Measures are implemented in priority order for the following considerations, which are prioritized in rank order: <ol style="list-style-type: none"> 1. Safeguard public safety 2. Safeguard the officers on scene (including the bomb technician) 3. Protect and preserve public and private property 4. Collect and preserve evidence 5. Accommodate the public/restore services

Capability	Outcome
Firefighting Operations/Support	Dispatch of the initial alarm assignment occurs within the response time objectives designed by the jurisdictional authority. The initial arriving unit initiates the ICS, assesses the incident scene, communicates the situation, and requests appropriate resources. Firefighting activities are conducted safely and fires are contained, controlled, and managed in accordance with emergency response plans and procedures.
WMD/Hazardous Materials Response and Decontamination	Hazardous materials (Hazmat) release is rapidly identified, contained, and mitigated; victims exposed to the hazard are rescued, decontaminated, and treated; the impact of the release is limited; the affected area is restored; and responders and at-risk populations are effectively protected.
Citizen Protection: Evacuation and/or In-Place Protection	Affected and at-risk populations are safely sheltered-in-place and/or relocated to safe refuge areas, provided shelter and essential services, and effectively and safely reentered into the affected area (if appropriate).
Isolation and Quarantine	Individuals who are ill, exposed, or likely to be exposed are separated, movement is restricted, basic necessities of life are available, and their health is monitored in order to limit the spread of a newly introduced contagious disease (pandemic influenza). Legal authority for these measures is clearly defined and communicated to the public. Logistical support is provided to maintain measures until danger of contagion has elapsed.
Urban Search & Rescue (US&R)	The greatest numbers of victims are rescued, in the shortest amount of time, while maintaining rescuer safety.
Emergency Public Information and Warning	Members of the public receive prompt, accurate and useful information regarding threats to their health, safety and property, and receive clear, consistent information and periodic updates outlining protective measures that can be taken by individuals and their communities.
Triage and Pre-Hospital Treatment	EMS resources are effectively and appropriately dispatched and are able to provide pre-hospital triage, treatment, transport, tracking of patients, and documentation of care appropriate for the incident, while maintaining the capabilities of the EMS system for continued operations.
Medical Surge	Injured or ill from the initial event are cared for and new cases that arise from initial illness or injury and new illnesses or injuries or exacerbation of pre-existing illness or injury due to disease, contamination or injury including exposure from communicable diseases and/or injuries which are secondary to the primary event are minimized. The at-risk population receives the appropriate protection (countermeasures) and treatment in a timely manner.
Medical Supplies Management and Distribution	Critical medical supplies and equipment are appropriately secured, managed, distributed, and restocked in a timeframe appropriate to the incident.
Mass Prophylaxis	Appropriate drug prophylaxis and vaccination strategies are implemented in a timely manner upon the onset of an event to prevent the development of disease in exposed individuals. Public information strategies include recommendations about specific actions individuals can take to protect their family, friends, and themselves.
Mass Care (Sheltering, Feeding, and Related Services)	Mass care services for the affected general population, services for special needs populations, and services for animals within the affected area are rapidly provided.

Capability	Outcome
Fatality Management	<p>Fatality management operations are conducted through a unified command structure as safely, timely, and efficiently as possible. Complete documentation and recovery of human remains, personal effects, and items of evidence will be done (except in cases where the health risk posed to personnel outweigh the benefits of recovery of remains and personal effects). Remains receive surface decontamination (if indicated) and, unless catastrophic circumstances dictate otherwise, are examined and identified, and released to the next-of-kin's funeral home with a complete certified death certificate. Reports of missing persons and antemortem data are efficiently collected. Victims' family members will receive updated information prior to the media release. All hazardous material regulations are reviewed and any restriction on the transportation and disposition of remains are made clear by those with the authority and responsibility to establish the standards. All personal effects are made safe to return to next-of-kin unless contraindicated by catastrophic circumstances. Law Enforcement agencies will be given all the information needed to investigate and prosecute the case successfully. Families will be provided incident specific support services.</p>
Recover Mission Area	
Structural Damage and Mitigation Assessment	<p>Accurate situation needs and damage assessments occur. Mitigation projects to lessen the impact of similar future events are identified and prioritized. The full range of engineering, building inspection, and enforcement services are implemented, managed, and coordinated in a way that maximizes the use of resources, aids emergency response, implements recovery operations, and restores the affected area to pre-event conditions.</p>
Restoration of Lifelines	<p>Lifelines to facilitate emergency response and recovery activities are restored and essential lifeline services for the affected population are reestablished.</p>
Economic & Community Recovery	<p>Economic impact is estimated, priorities are set for recovery activities, business disruption is minimized and returned to operation, and individuals and families are provided with appropriate levels and types of relief with minimal delay.</p>

4.0 PRIORITIES

HSPD-8 states that the Goal will establish measurable readiness priorities. National priorities will help guide the Nation’s preparedness efforts to meet the most urgent needs. The priorities reflect major themes and recurring issues identified in relevant national strategies, HSPDs, and State and Urban Area Homeland Security Strategies. The priorities are not numbered because they are of equal importance. The priorities fall into two categories: overarching priorities that contribute to the development of multiple capabilities, and capability-specific priorities that build selected capabilities from the TCL for which the Nation has the greatest need (see Figure 5). The priorities will be updated and/or refined over time, based on progress towards achieving the National Preparedness Goal and changes in the homeland security strategic environment.

Figure 5: National Priorities and Associated Capabilities

Overarching Priorities	Associated Capabilities
Implement the National Incident Management System and National Response Plan	Multiple capabilities
Expand Regional Collaboration	Multiple capabilities
Implement the National Infrastructure Protection Plan	Multiple capabilities
Capability-Specific Priorities	Associated Capabilities
Strengthen Information Sharing and Collaboration Capabilities	Intelligence/Information Sharing and Dissemination Law Enforcement Investigation and Operations
Strengthen Interoperable Communications Capabilities	Communications
Strengthen CBRNE Detection, Response, and Decontamination Capabilities	CBRNE Detection Explosive Device Response Operations WMD/Hazardous Materials Response and Decontamination
Strengthen Medical Surge and Mass Prophylaxis Capabilities	Mass Prophylaxis Medical Surge

Federal departments and agencies are required to review the national priorities in order to identify their preparedness programs and/or initiatives that support implementation of the national priorities and associated target capabilities. Federal departments and agencies are required to provide information on how their programs support implementation of the national priorities in their annual program guidance, as explained in the Letter of Instruction included with this Goal. A brief discussion of the national priorities follows, with examples of some of the major Federal programs that can support each priority.

4.1 Implement the National Incident Management System and National Response Plan

National Priority: Implement the National Incident Management System and National Response Plan in order to enhance the coordinated development of capabilities.

Discussion: HSPD-5, “*Management of Domestic Incidents*,” mandated the development of the National Incident Management System (NIMS) and National Response Plan (NRP). The NIMS provides a consistent framework for entities at all levels of government to work together to manage domestic incidents, regardless of cause, size, or complexity. The NIMS includes a core set of guidelines, standards, and protocols for command and management, preparedness, resource management, communications and information management, supporting technologies, and management and maintenance to promote interoperability and compatibility among Federal, State, local, and tribal capabilities. The NRP, using the template established by the NIMS, is an all-discipline, all-hazards plan that provides the structure and mechanisms to coordinate operations for evolving or potential Incidents of National Significance. Incidents of National Significance are major events that require a coordinated and effective response by an appropriate combination of Federal, State, local, tribal, private sector, and non-governmental entities.

The National Preparedness Goal and the capabilities-based planning tools enable entities across the Nation to more easily pinpoint capabilities that need improvement and develop and maintain capabilities at levels that will be needed to manage major events using the NRP and NIMS. Compliance with the NIMS and compatibility with the NRP are important initial steps in achieving and sustaining the capabilities identified in the Goal and TCL. The DHS NIMS Integration Center (NIC) is responsible for promoting awareness and integration of NIMS principles at all levels of government, as well as coordinating implementation of the NRP. The NIC develops annual program guidance to address implementation of the NIMS and NRP.

Further Information:

- The NIMS document can be found online at: http://www.fema.gov/pdf/nims/nims_doc_full.pdf
- Additional information on NIMS tools and training can be found online at: <http://www.fema.gov/nims/>
- The NRP can be found online at: <http://www.dhs.gov/nationalresponseplan>
- The NIC can be contacted via email at: NIMS-Integration-Center@dhs.gov or via telephone at: (202) 646-3850

4.2 Expand Regional Collaboration

National Priority: Expand regional collaboration in order to enhance coordinated development of capabilities.

Discussion: Achieving the vision for the National Preparedness Goal depends upon regional collaboration. Major events have regional impact; therefore, prevention, protection, response and recovery missions require extensive regional collaboration. Homeland security fundamentally depends upon the Nation's commitment to secure those geographic areas that are at greatest risk. It is vital to enhance efforts by State, local, and tribal entities to communicate and coordinate with one another and with private sector and non-governmental entities, as well as the general public. The intent is to enable States to define regional groupings that work best for the purpose of establishing, achieving, and sustaining risk-based target levels of capability, and to require Federal departments and agencies to strengthen those regional groupings through Federal preparedness assistance. Standardization will enable the States, working with local and tribal governments and other partners, to coordinate preparedness activities more effectively, spread costs, share risk, and thereby increase the overall return on investment. This priority is related closely to implementation of the TCL (see section 3.0).

One example of a Federal initiative that can support this priority is the Urban Areas Security Initiative (UASI) managed by DHS/SLGCP. This initiative focuses on geographic areas that can be described as high-threat urban areas. The scope of the initiative includes designated Urban Areas, as well as designated multi-jurisdictional metropolitan areas identified by those States that do not have an Urban Area. Another example of a Federal initiative that can support this priority is the Cities Readiness Initiative, managed by the Department of Health and Human Services (HHS) through Centers for Disease Control and Prevention (CDC). This initiative focuses on selected cities to help them prepare to provide oral medications to 100 percent of the population in case of a catastrophic terrorist attack for which pharmaceutical countermeasures are required. DHS/SLGCP is responsible for coordinating Federal efforts related to this national priority.

Further Information:

- DHS Preparedness Officers and the Central Scheduling and Information Desk (CSID) serve as the primary point of contact for the UASI program and can coordinate additional assistance to State, local, and tribal officials for this priority. The CSID can be contacted via email at askcsid@dhs.gov or telephone at (800) 368-6498.
- Additional information for the HHS Cities Readiness Initiative can be found online at: <http://www.bt.cdc.gov/cri/>

4.3 Implement the National Infrastructure Protection Plan

National Priority: Implement the National Infrastructure Protection Plan (NIPP) in order to enhance coordinated development of critical infrastructure protection capabilities.

Discussion: HSPD-7, “*Critical Infrastructure Identification, Prioritization, and Protection,*” directed DHS to establish a national plan to unify the Nation’s efforts to protect critical infrastructure and key resources (CI/KR) from terrorist attacks. The NIPP provides the overarching structure to operationalize this requirement. The NIPP:

- Describes national goals and objectives, identifies the roles and responsibilities for security partners, and provides the architecture to achieve a steady state of protection by focusing resources where investment yields the largest reduction in national risk;
- Provides the overarching structure to integrate the efforts and resources of Federal, State, local, tribal governments and nongovernmental and private sector partners;
- Provides the operational structure to implement key concepts of HSPD-7; and
- Provides guidance to Sector-Specific Agencies designated in HSPD-7 to develop Sector-Specific Plans using the NIPP risk-management framework.

The Interim NIPP was released in February 2005. The NIPP Base Plan is expected to be completed in early 2006. It will detail milestones and implementation actions to:

- Establish the architecture for conducting risk assessment and risk management activities;
- Provide processes for coordinating resource priorities and informing the annual Federal budget process;
- Strengthen linkages between physical and cyber, domestic and international CI/KR protection efforts;
- Improve information-sharing and public-private-sector coordination; and
- Integrate steady-state protection programs in an all-hazards environment.

Sector-Specific Plans will be delivered to DHS within 180 days of signature of the NIPP Base Plan. Implementing the NIPP and the Sector-Specific Plans are important initial steps in achieving and sustaining many of the capabilities identified in the Goal and TCL. The DHS National Infrastructure Protection Plan Program Management Office is responsible for coordinating implementation of the NIPP in partnership with the Sector-Specific Agencies.

Further Information:

- For more information, refer to the NIPP or send comments and questions to NIPP@dhs.gov.

4.4 Strengthen Information Sharing and Collaboration Capabilities

National Priority: Strengthen information sharing and collaboration capabilities across the Nation to support coordinated prevention and response efforts.

Discussion: This national priority focuses on the Intelligence/Information Sharing and Dissemination and the Law Enforcement Investigation and Operations capabilities from the TCL. Intelligence/Information Sharing and Dissemination is the multi-jurisdictional, multidisciplinary exchange and dissemination of information and intelligence among entities at all levels of government, non-governmental organizations, the private sector, and citizens. Intelligence is derived by gathering, analyzing, and fusing relevant information from a wide range of sources on a continual basis. Successful homeland security efforts require that governmental, non-governmental, and private sector entities have an effective and seamless capability to gather, analyze, disseminate, and use information regarding threats, vulnerabilities, and consequences to support prevention and response efforts. Law Enforcement Investigation and Operations contributes to successful deterrence, detection, disruption, investigation, and apprehension of suspects involved in criminal activities. Law enforcement and other appropriate personnel must be partners in the Intelligence/Information Sharing and Dissemination capability to conduct successful investigations.

The President and Congress have directed that an Information Sharing Environment be created to provide and facilitate the means for sharing terrorism information among all appropriate Federal, State, local, and tribal entities, and the private sector through the issuance of policy guidelines and technologies. A number of Federal initiatives support this national priority, including:

- Establishment of an Information Sharing Environment Program Manager position in the Office of the Director of National Intelligence to be responsible for building an online system to connect existing terrorism information resources across agencies.
- Establishment of the Information Sharing and Collaboration Office within DHS to serve as the DHS focal point for information sharing policy and implementation and coordinate activities within the DHS and with the Department's partners to achieve effective information sharing and collaboration.
- Expansion of the Homeland Security Information Network managed by DHS which provides the primary conduit to intelligence and law enforcement agencies and operations centers at all levels of government.
- Establishment of the Law Enforcement Information Sharing Program which provides data exchange services that enhance the information sharing capabilities of the Department of Justice (DOJ). One component of that capability are the Joint Terrorism Task Forces led by the Federal Bureau of Investigation (FBI). The Joint Terrorism Task Forces enhance communication, coordination, and cooperation among agencies at all levels of government representing intelligence, law enforcement, defense, diplomatic, public safety, and homeland security disciplines by providing a point of fusion for terrorism intelligence. Another component of that capability are the Anti-Terrorism Advisory Councils led by the U.S. Attorneys, which also facilitate information sharing among law enforcement organizations at all levels of government.

Further Information:

- Additional information on Homeland Security Information Network can be found online at: <http://www.dhs.gov/dhspublic/display?theme=43&content=3747&print=true>.
- Additional information on FBI and related DOJ efforts in this area can be found online at: <http://www.fbi.gov/terrorinfo/counterrorism/waronterrorhome.htm>.

4.5 Strengthen Interoperable Communications Capabilities

National Priority: Strengthen interoperable communications capabilities across the Nation to enable personnel from different disciplines and jurisdictions to communicate effectively during major events.

Discussion: This national priority focuses on the Communications capability from the TCL. Interoperable communications is the capability of personnel to exchange information across disciplines and jurisdictions via communications equipment and systems on-demand in real time and as authorized. Analysis of existing State and Urban Area Homeland Security Strategies, in addition to a number of reports on the status of interoperable communications and information sharing, has shown that there are persistent shortfalls in achieving communications interoperability. These shortfalls demonstrate that there is a need for a national framework that fosters the identification of communications requirements and definition of technical standards. There is also continued emphasis by State and local authorities on the need for statewide interoperable communications plans, and a national interoperability baseline to assess the current state of communications interoperability. Achieving interoperable communications and creating effective mechanisms for sharing information are long term projects that require Federal leadership and collaborative, interdisciplinary, and intergovernmental planning.

One initiative that supports this priority is SAFECOM, a program of the DHS Science and Technology Directorate Office for Interoperability and Compatibility (DHS/S&T/OIC). SAFECOM promotes, coordinates, and provides assistance to the efforts of Federal, State, local, and tribal public safety agencies to strengthen interoperable communications capabilities. SAFECOM emphasizes a practitioner-driven approach in addressing communications in interoperability. Another initiative that contributes to this priority is the Integrated Wireless Network (IWN), which is being deployed by the DOJ in partnership with DHS and the Department of the Treasury. IWN is a multi-year effort to consolidate Federal law enforcement/homeland security radio infrastructure.

Further Information:

- Additional information on the SAFECOM program within DHS can be found at: <https://www.safecomprogram.gov/SAFECOM/>
- Additional information on the Integrated Wireless Network (IWN) can be found online at: <http://www.usdoj.gov/jmd/iwn>

4.6 Strengthen CBRNE Detection, Response, and Decontamination Capabilities

National Priority: Strengthen chemical, biological, radiological, nuclear, and explosive (CBRNE) detection, response, and decontamination capabilities.

Discussion: This national priority focuses on three capabilities from the TCL: CBRNE Detection, Explosive Device Response Operations, and weapons of mass destruction (WMD)/Hazardous Materials Response and Decontamination. CBRNE materials that can be used as WMD to produce thousands of casualties as a consequence of a single attack are inherently a high risk. The Nation's capability to detect and respond to such incidents is imperative. Since the potential number of terrorist targets is large, and the threats and means of delivery are varied, the Nation must develop a layered defense against WMD. An effective CBRNE detection infrastructure will ensure CBRNE materials are rapidly detected, identified, and safely managed at borders, critical locations, events, and incidents. By their nature, these materials differ in detection and characterization methodologies. CBRNE response includes activities to address the immediate and short-term actions to preserve life, property, environment, and the social, economic, and political structure of the community. Coordination among appropriate entities at all levels of government in pre-event planning and development of interagency response protocols in advance of deployment of detection technology is critical. Additional response activities are required post-release / detonation. The ability to rapidly decontaminate large numbers of affected persons is critical in preventing injury or death.

This national priority leverages efforts throughout government to develop capabilities to detect, neutralize, contain, dismantle, and dispose of CBRNE materials, and decontaminate exposed personnel and property. State, local, and tribal agencies, and their hazardous materials response teams, are key players in early detection, response, and decontamination. At the Federal level, different departments and agencies are key players for aspects of CBRNE detection, response, and decontamination. These include: the Department of Agriculture, Department of Defense, Department of Energy, Department of Health and Human Services, Department of Homeland Security, Department of Justice, Environmental Protection Agency, and the Nuclear Regulatory Commission.

Further Information:

- Information on addressing contingency or hazard situations requiring specialized application of the NRP such as CBRNE can be found in the NRP online at: <http://www.dhs.gov/nationalresponseplan>

4.7 Strengthen Medical Surge and Mass Prophylaxis Capabilities

National Priority: Strengthen medical surge and mass prophylaxis capabilities by establishing emergency-ready public health and healthcare entities.

Discussion: This national priority focuses on the Mass Prophylaxis and Medical Surge capabilities from the TCL. Medical Surge and Mass Prophylaxis are the first lines of response to bioterrorism and other public health emergencies. Medical Surge is emphasized because of the urgency to prepare our healthcare system, particularly hospitals, to be able to handle large numbers of patients requiring immediate hospitalization following any type of incident. Emergency-ready hospitals and other healthcare entities must be able to work collectively to handle different types of injuries including physical and psychic trauma, burns, infections, bone marrow suppression, or other chemical- or radiation-induced injury. Finally, in anticipation of a mass casualty incident that requires supplementing the aggregate surge capacity of local hospitals, the community of medical providers must have provisions in place to immediately accommodate an influx of supplemental healthcare assets from mutual-aid partners, the State, and the Federal government. Mass Prophylaxis requires public health departments to organize and direct a mass prophylaxis campaign within an extremely short timeframe should one be needed to prevent illness and/or death in the face of a potential or actual mass casualty incident.

HHS has the lead responsibility for many Federal programs that support this priority. The Public Health Security and Bioterrorism Preparedness and Response Act of 2002 addresses the need to enhance public health and healthcare readiness for bioterrorism and other public health emergencies. As a first line of response to such threats, the Nation needs emergency-ready public health and healthcare services in every community. Also, as envisioned in the NRP and HSPD-10, “*Biodefense for the 21st Century*,” the Nation needs to strengthen the capabilities of the Federal government to assist and augment State, local, and tribal emergency response efforts as necessary – especially in responding to mass casualty incidents. The National Bioterrorism Hospital Preparedness Program is administered by the Health Resources and Services Administration. The purpose of the program is to enhance the ability of the Nation’s hospitals and the health care system to prepare for and respond to bioterrorism and other public health emergencies. The Cooperative Agreement on Public Health Preparedness and Response for Bioterrorism is administered by the CDC. CDC funds are intended to upgrade State and local public health jurisdictions’ preparedness for and response to the priorities identified in the authorizing legislation.

Further Information:

- For additional information on Medical Surge, please refer to the HRSA Mass Casualty website: <http://www.hrsa.gov/bioterrorism/>
- For additional information on Mass Prophylaxis, please refer to the CDC Coordinating Office of Terrorism Preparedness and Emergency Response’s website: <http://www.bt.cdc.gov>

5.0 ELEMENTS THAT SUPPORT THE GOAL

The Goal is supported by three elements that help to guide implementation of the capabilities-based approach:

- Metrics and standards,
- A system for assessing the Nation’s overall level of preparedness, and
- Annual status reports.

A brief description of each element follows.

5.1 Metrics and Standards

HSPD-8 states that the Goal will include:

...readiness metrics and elements that support the national preparedness goal including standards for preparedness assessments and strategies.

Federal departments and agencies, in consultation with State, local, and tribal governments, non-governmental organizations, the private sector, and the general public as appropriate, are required to reflect these readiness metrics and preparedness standards in their annual program guidance. Federal departments and agencies will coordinate draft guidance with DHS/SLGCP to ensure consistency.

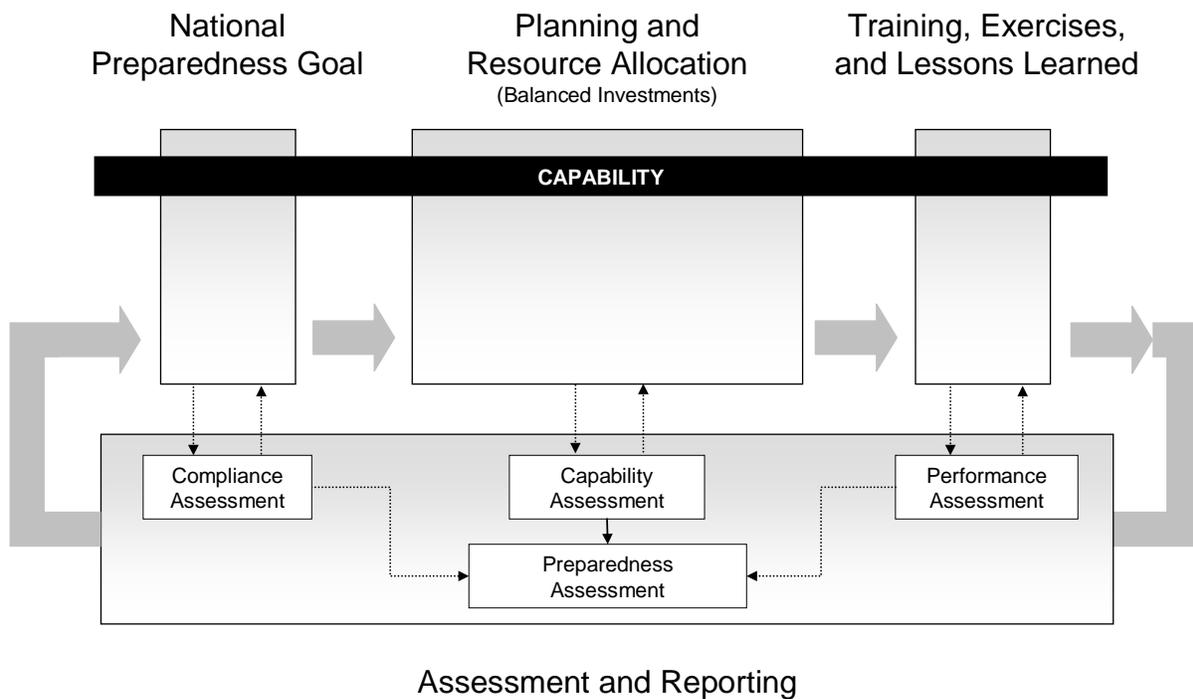
Readiness metrics will enable entities across the Nation to answer the fundamental question: “How prepared do we need to be?” The TCL is the primary source of readiness metrics. Existing metrics are being modified and new metrics are being developed in collaboration with appropriate stakeholders to measure outcomes (i.e., availability, efficiency, and effectiveness) and ensure that all elements of capability (i.e., personnel, planning, organization and leadership, equipment and systems, training, and exercises, evaluations, and corrective actions) are considered. Metrics will be clear, reliable, actionable, and simple to collect and analyze. It is often difficult to measure outcomes for many aspects of homeland security, such as the number of deterred incidents resulting from prevention activities. When outcomes are difficult to measure, key processes and systems that lead to preferred outcomes will be identified and assessed.

Standards for preparedness assessments will enable entities across the Nation to answer the fundamental question: “How prepared are we?” The National Preparedness Goal and the capabilities-based planning tools, to include the National Planning Scenarios, UTL, and TCL, collectively provide standards for assessment of national preparedness.

Using the capabilities-based approach, preparedness assessments are a function of three components (see Figure 6):

- **Compliance Assessment** tools enable entities to verify that their efforts are consistent with the National Preparedness Goal and relevant annual program guidance.
- **Capability Assessment** tools enable entities to prioritize needs, update preparedness strategies, allocate resources, and implement preparedness programs that achieve and sustain capability.
- **Performance Assessment** tools enable entities to evaluate performance-based training and exercises, develop after action reports, and update improvement plans that validate capability.

Figure 6: Preparedness Assessments Using the Capabilities-Based Approach



Standards for preparedness strategies will enable entities across the Nation to answer the fundamental question: “How do we prioritize efforts to close the gap?” HSPD-8 emphasizes that Statewide strategies should support and be consistent with the Goal, assess the most effective ways to enhance preparedness, address areas facing higher risk, especially to terrorism, and should also address local government concerns and Citizen Corps efforts. DHS/SLGCP provides strategy guidance to assist the States and Urban Areas in ensuring their homeland security strategies support the Goal and reflect the national priorities. In updating their strategies, States and Urban Areas will address an all-hazards approach and incorporate capabilities-based planning.

5.2 A System for Assessing the Nation’s Overall Preparedness

HSPD-8 states that the Goal will include:

...elements that support the national preparedness goal including a system for assessing the Nation’s overall preparedness to respond to major events, especially those involving acts of terrorism.

To meet that tasking, existing data collection efforts conducted by Federal departments and agencies will be consolidated, revised or realigned to create a national assessment and reporting system. Data will be collected through a variety of tools, including self-assessment, peer-assessment, and independent evaluation, and compiled into overall assessments. DHS/SLGCP formed an integrated concept team with representatives of entities at all levels of government, the private sector, and non-governmental organizations to provide recommendations to help guide the development of this system.

Senior officials at all levels of government are responsible for leading preparedness efforts within their borders and involving the private sector, non-governmental organizations, and citizens as appropriate. They are in the best position to know that the data may not tell the whole story and that other factors may weigh into the preparedness equation. They will retain the authority to provide additional evidence or information to support the overall assessment for their respective level of government. The intent is to preserve the flexibility of Federal, State, local, and tribal officials to make informed choices while ensuring accountability for those choices as they affect the shared responsibility for national preparedness.

5.3 Annual Status Reports

HSPD-8 requires the Secretary of Homeland Security to provide the President with:

...an annual status report of the Nation’s level of preparedness, including State capabilities, the readiness of Federal civil response assets, the utilization of mutual aid, and an assessment of how the Federal first responder preparedness assistance programs support the national preparedness goal. The first report will be provided within 1 year of establishment of the national preparedness goal.

To meet that tasking, data will be compiled from a variety of sources:

- Data on State capabilities and utilization of mutual aid will be collected from the assessment system required in HSPD-8 paragraph 6 (see Section 5.2).
- Data on State capabilities and utilization of mutual aid for annual reports for FY 2006 and 2007 will be based on limited re-assessment of previously collected data, and selective sampling for the capability-specific National Priorities.
- Data on the readiness of Federal civil response assets will be collected from the Federal response capability inventory required in HSPD-8 paragraph 21.
- Data on how Federal first responder preparedness assistance programs support the National Preparedness Goal will be collected from the annual report to the Secretary of Homeland Security required in HSPD-8 paragraph 13.

Other sources of data will be considered as appropriate. The intent is to use existing sources of data, not to create separate data collection efforts for the annual status reports.

6.0 GOAL MANAGEMENT AND MAINTENANCE

In March 2004, the Secretary of Homeland Security charged the Executive Director of the Office of State and Local Government Coordination and Preparedness (DHS/SLGCP) with responsibility to lead the development of the National Preparedness Goal. As part of that responsibility, DHS/SLGCP will coordinate the establishment of a structure and process for the ongoing management and maintenance of the Goal. This structure and process will be coordinated closely with similar structures and processes for the ongoing management and maintenance of the NIMS, NRP, and NIPP, to help ensure that national policy and planning for operations and preparedness are mutually supportive. In conjunction with implementation of the findings of the Second Stage Review, the Secretary of Homeland Security may designate another office within DHS to assume this role.

“Although the images of Katrina and Rita will continue to resonate, we must also be mindful of broader issues. Homeland Security is an “all-hazards” agency. As we evaluate and adapt our preparedness systems, we need to take an all-hazards approach that will enable us to be broadly prepared to prevent, protect against, and respond to whatever threats are on the horizon – whether they be catastrophic hurricanes or catastrophic acts of terrorism.”

Secretary Michael Chertoff, September 27, 2005



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APPENDIX A—TERMS AND DEFINITIONS

All-Hazards Preparedness. Refers to preparedness for domestic terrorist attacks, major disasters, and other emergencies. (Source—HSPD-8)

Capability. A capability provides the means to achieve a measurable outcome resulting from the performance of one or more critical tasks, under specified conditions and performance standards. A capability may be delivered with any combination of properly planned, organized, equipped, trained, and exercised personnel that achieves the intended outcome.

Critical Infrastructure. Critical infrastructure is defined as systems and assets, whether physical or virtual, so vital to the United States that the incapacity or destruction of such systems and assets would have a debilitating impact on security, national economic security, national public health or safety, or any combination of those matters. (Source—USA PATRIOT Act of 2001 and Homeland Security Act of 2002)

Critical Task. Critical tasks are those tasks that are essential to achieving success in a homeland security mission for a major event to prevent occurrence, to minimize loss of life and serious injuries, or to mitigate significant property damage.

Emergency. As defined by the *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, an emergency means any occasion or instance for which, in the determination of the President, Federal assistance is needed to supplement State and local efforts and capabilities to save lives and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States. (Source—NRP, December 2004)

Federal departments and agencies. Those executive departments enumerated in 5 U.S.C. 101, and the Department of Homeland Security; independent establishments as defined by 5 U.S.C. 104(1); Government corporations as defined by 5 U.S.C. 103(1); and the United States Postal Service. (Source—HSPD-8)

First responder. Local and non-governmental police, fire, and emergency personnel who in the early stages of an incident are responsible for the protection and preservation of life, property, evidence, and the environment, including emergency response providers as defined in section 2 of the Homeland Security Act of 2002 (6 U.S.C. 101), as well as emergency management, public health, clinical care, public works, and other skilled support personnel (such as equipment operators) who provide immediate support services during prevention, response, and recovery operations. First responders may include personnel from Federal, State, local, tribal, or non-governmental organizations. (Source—NRP, December 2004)

Incident of National Significance. Based on criteria established in HSPD-5 (paragraph 4), an actual or potential high-impact event that requires a coordinated and effective response by an appropriate combination of Federal, State, local, tribal, non-governmental, and/or private sector entities in order to save lives and minimize damage, and provide the basis for long-term community recovery and mitigation activities. (Source—NRP, December 2004)

Jurisdiction. A range or sphere of authority. Public agencies have jurisdiction at an incident related to their legal responsibilities and authority. Jurisdictional authority at an incident can be political or geographic (e.g., city, county, tribal, State, or Federal boundary lines) or functional (e.g., law enforcement, public health). (Source—NIMS, March 2004)

Key Resources. Key resources are defined as “publicly or privately controlled resources essential to the minimal operations of the economy and government. (Source—Homeland Security Act of 2002)

Local Government. Local means “(A) a county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (regardless of whether the council of governments is incorporated as a nonprofit corporation under State law), regional or interstate government entity, or agency or instrumentality of a local government; (B) an Indian tribe or authorized tribal organization, or in Alaska a Native village or Alaska Regional Native Corporation; and (C) a rural community, unincorporated town or village, or other public entity.” (Source—Homeland Security Act of 2002)

Major Disaster. As defined under the *Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5122)*, a major disaster is any natural catastrophe (including any hurricane, tornado, storm, high water, wind-driven water, tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm, or drought) or, regardless of cause, any fire, flood, or explosion, in any part of the United States, which in the determination of the President causes damage of sufficient severity and magnitude to warrant major disaster assistance under this act to supplement the efforts and available resources of States, local governments, and disaster relief organizations in alleviating the damage, loss, hardship, or suffering caused thereby. (Source—NIMS, March 2004)

Major Event. Refers to domestic terrorist attacks, major disasters, and other emergencies. (Source—HSPD-8)

Mass Prophylaxis. The process by which an entire community is to receive prophylactic drugs/vaccines over a defined period of time in response to possible exposure to a biological agent. (Source – *Community-Based Mass Prophylaxis: A Planning Guide for Public Health Preparedness*, Agency for Healthcare Research and Quality, August 2004)

National. Of a nationwide character, including the Federal, State, local and tribal aspects of governance and polity. (Source –NIMS, March 2004)

Preparedness. The range of deliberate, critical tasks and activities necessary to build, sustain, and improve the operational capability to prevent, protect against, respond to, and recover from domestic incidents. Preparedness is a continuous process involving efforts at all levels of government and between government and private-sector and non-governmental organizations to identify threats, determine vulnerabilities, and identify required resources. (Source—NRP, December 2004)

Prevention. Actions to avoid an incident or to intervene to stop an incident from occurring. Prevention involves actions taken to protect lives and property. It involves applying intelligence and other information to a range of activities that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature and source of the threat; public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and, as appropriate, specific law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity and apprehending potential perpetrators and bringing them to justice. (Source—NIMS, March 2004)

Protection. Actions to reduce the vulnerability of critical infrastructure or key resources in order to deter, mitigate, or neutralize terrorist attacks, major disasters, and other emergencies. It requires coordinated action on the part of Federal, State, and local governments; the private sector; and concerned citizens across the country. Protection also includes: continuity of government and operations planning; awareness elevation and understanding of threats and vulnerabilities to their critical facilities, systems, and functions; identification and promotion of effective sector-specific protection practices and methodologies; and expansion of voluntary security-related information sharing among private entities within the sector, as well as between government and private entities. (Source—HSPD-7, December 2003).

Recovery. The development, coordination, and execution of service- and site-restoration plans, the reconstitution of government operations and services; individual, private-sector, non-governmental, and public assistance programs to provide housing and promote restoration; long-term care and treatment of affected persons; additional measures for social, political, environmental, and economic restoration; evaluation of the incident to identify lessons learned; post incident reporting; and development of initiatives to mitigate the effects of future incidents. (Source—NIMS, March 2004)

Response. Activities that address the short-term, direct effects of an incident. Response includes immediate actions to save lives, protect property, and meet basic human needs. Response also includes the execution of emergency operations plans and of mitigation activities designed to limit the loss of life, personal injury, property damage, and other unfavorable outcomes. As indicated by the situation, response activities include applying intelligence and other information to lessen the effects or consequences of an incident; increased security operations; continuing investigations into the nature and source of the threat; ongoing public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and specific law enforcement operations aimed at preempting, interdicting, or disrupting illegal activity, and apprehending actual perpetrators and bringing them to justice. (Source—NIMS, March 2004)

Risk. Risk is the product of threat, vulnerability, consequences, and likelihood of occurrence.

State Government. State means “any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States.” (Source—Homeland Security Act of 2002)

Volunteer. Any individual accepted to perform services by an agency, which has authority to accept volunteer services when the individual performs services without promise, expectation, or receipt of compensation for services performed (Source—NIMS, March 2004)

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APPENDIX B—ACRONYMS AND ABBREVIATIONS

CBRNE	Chemical, Biological, Radiological, Nuclear, and Explosive
CDC	Centers for Disease Control and Prevention
CSID	Central Scheduling and Information Desk
DHS	Department of Homeland Security
DOJ	Department of Justice
FBI	Federal Bureau of Investigation
FY	Fiscal Year
HHS	Department of Health and Human Services
HRSA	Health Resources and Services Administration
HSC	Homeland Security Council
HSEEP	Homeland Security Exercise and Evaluation Program
HSPD	Homeland Security Presidential Directive
NIC	NIMS Integration Center
NIMS	National Incident Management System
NIPP	National Infrastructure Protection Plan
NRP	National Response Plan
ODP	Office for Domestic Preparedness
OIC	Office for Interoperability and Compatibility
SLGCP	Office of State and Local Government Coordination and Preparedness
S&T	Science and Technology Directorate
TCL	Target Capabilities List
UASI	Urban Areas Security Initiative

UTL

Universal Task List

WMD

Weapons of Mass Destruction

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APPENDIX C—HOMELAND SECURITY PRESIDENTIAL DIRECTIVE 8

For Immediate Release
Office of the Press Secretary
December 17, 2003

Homeland Security Presidential Directive/HSPD-8

Subject: National Preparedness

Purpose

(1) This directive establishes policies to strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other emergencies by requiring a national domestic all-hazards preparedness goal, establishing mechanisms for improved delivery of Federal preparedness assistance to State and local governments, and outlining actions to strengthen preparedness capabilities of Federal, State, and local entities.

Definitions

(2) For the purposes of this directive:

(a) The term "all-hazards preparedness" refers to preparedness for domestic terrorist attacks, major disasters, and other emergencies.

(b) The term "Federal departments and agencies" means those executive departments enumerated in 5 U.S.C. 101, and the Department of Homeland Security; independent establishments as defined by 5 U.S.C. 104(1); Government corporations as defined by 5 U.S.C. 103(1); and the United States Postal Service.

(c) The term "Federal preparedness assistance" means Federal department and agency grants, cooperative agreements, loans, loan guarantees, training, and/or technical assistance provided to State and local governments and the private sector to prevent, prepare for, respond to, and recover from terrorist attacks, major disasters, and other emergencies. Unless noted otherwise, the term "assistance" will refer to Federal assistance programs.

(d) The term "first responder" refers to those individuals who in the early stages of an incident are responsible for the protection and preservation of life, property, evidence, and the environment, including emergency response providers as defined in section 2 of the Homeland Security Act of 2002 (6 U.S.C. 101), as well as emergency management, public health, clinical care, public works, and other skilled support personnel (such as equipment operators) that provide immediate support services during prevention, response, and recovery operations.

(e) The terms "major disaster" and "emergency" have the meanings given in section 102 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5122).

(f) The term "major events" refers to domestic terrorist attacks, major disasters, and other emergencies.

(g) The term "national homeland security preparedness-related exercises" refers to homeland security-related exercises that train and test national decision makers and utilize resources of multiple Federal departments and agencies. Such exercises may involve State and local first responders when appropriate. Such exercises do not include those exercises conducted solely within a single Federal department or agency.

(h) The term "preparedness" refers to the existence of plans, procedures, policies, training, and equipment necessary at the Federal, State, and local level to maximize the ability to prevent, respond to, and recover from major events. The term "readiness" is used interchangeably with preparedness.

(i) The term "prevention" refers to activities undertaken by the first responder community during the early stages of an incident to reduce the likelihood or consequences of threatened or actual terrorist attacks. More general and broader efforts to deter, disrupt, or thwart terrorism are not addressed in this directive.

(j) The term "Secretary" means the Secretary of Homeland Security.

(k) The terms "State," and "local government," when used in a geographical sense, have the same meanings given to those terms in section 2 of the Homeland Security Act of 2002 (6 U.S.C. 101).

Relationship to HSPD-5

(3) This directive is a companion to HSPD-5, which identifies steps for improved coordination in response to incidents. This directive describes the way Federal departments and agencies will prepare for such a response, including prevention activities during the early stages of a terrorism incident.

Development of a National Preparedness Goal

(4) The Secretary is the principal Federal official for coordinating the implementation of all-hazards preparedness in the United States. In cooperation with other Federal departments and agencies, the Secretary coordinates the preparedness of Federal response assets, and the support for, and assessment of, the preparedness of State and local first responders.

(5) To help ensure the preparedness of the Nation to prevent, respond to, and recover from threatened and actual domestic terrorist attacks, major disasters, and other emergencies, the Secretary, in coordination with the heads of other appropriate Federal departments and agencies and in consultation with State and local governments, shall develop a national domestic all-hazards preparedness goal. Federal departments and agencies will work to achieve this goal by:

(a) providing for effective, efficient, and timely delivery of Federal preparedness assistance to State and local governments; and

(b) supporting efforts to ensure first responders are prepared to respond to major events, especially prevention of and response to threatened terrorist attacks.

(6) The national preparedness goal will establish measurable readiness priorities and targets that appropriately balance the potential threat and magnitude of terrorist attacks, major disasters, and other emergencies with the resources required to prevent, respond to, and recover from them. It will also

include readiness metrics and elements that support the national preparedness goal including standards for preparedness assessments and strategies, and a system for assessing the Nation's overall preparedness to respond to major events, especially those involving acts of terrorism.

(7) The Secretary will submit the national preparedness goal to me through the Homeland Security Council (HSC) for review and approval prior to, or concurrently with, the Department of Homeland Security's Fiscal Year 2006 budget submission to the Office of Management and Budget.

Federal Preparedness Assistance

(8) The Secretary, in coordination with the Attorney General, the Secretary of Health and Human Services (HHS), and the heads of other Federal departments and agencies that provide assistance for first responder preparedness, will establish a single point of access to Federal preparedness assistance program information within 60 days of the issuance of this directive. The Secretary will submit to me through the HSC recommendations of specific Federal department and agency programs to be part of the coordinated approach. All Federal departments and agencies will cooperate with this effort. Agencies will continue to issue financial assistance awards consistent with applicable laws and regulations and will ensure that program announcements, solicitations, application instructions, and other guidance documents are consistent with other Federal preparedness programs to the extent possible. Full implementation of a closely coordinated interagency grant process will be completed by September 30, 2005.

(9) To the extent permitted by law, the primary mechanism for delivery of Federal preparedness assistance will be awards to the States. Awards will be delivered in a form that allows the recipients to apply the assistance to the highest priority preparedness requirements at the appropriate level of government. To the extent permitted by law, Federal preparedness assistance will be predicated on adoption of Statewide comprehensive all-hazards preparedness strategies. The strategies should be consistent with the national preparedness goal, should assess the most effective ways to enhance preparedness, should address areas facing higher risk, especially to terrorism, and should also address local government concerns and Citizen Corps efforts. The Secretary, in coordination with the heads of other appropriate Federal departments and agencies, will review and approve strategies submitted by the States. To the extent permitted by law, adoption of approved Statewide strategies will be a requirement for receiving Federal preparedness assistance at all levels of government by September 30, 2005.

(10) In making allocations of Federal preparedness assistance to the States, the Secretary, the Attorney General, the Secretary of HHS, the Secretary of Transportation, the Secretary of Energy, the Secretary of Veterans Affairs, the Administrator of the Environmental Protection Agency, and the heads of other Federal departments and agencies that provide assistance for first responder preparedness will base those allocations on assessments of population concentrations, critical infrastructures, and other significant risk factors, particularly terrorism threats, to the extent permitted by law.

(11) Federal preparedness assistance will support State and local entities' efforts including planning, training, exercises, interoperability, and equipment acquisition for major events as well as capacity building for prevention activities such as information gathering, detection, deterrence, and collaboration related to terrorist attacks. Such assistance is not primarily intended to support existing capacity to address normal local first responder operations, but to build capacity to address major events, especially terrorism.

(12) The Attorney General, the Secretary of HHS, the Secretary of Transportation, the Secretary of Energy, the Secretary of Veterans Affairs, the Administrator of the Environmental Protection Agency, and the heads of other Federal departments and agencies that provide assistance for first responder preparedness shall coordinate with the Secretary to ensure that such assistance supports and is consistent with the national preparedness goal.

(13) Federal departments and agencies will develop appropriate mechanisms to ensure rapid obligation and disbursement of funds from their programs to the States, from States to the local community level, and from local entities to the end users to derive maximum benefit from the assistance provided. Federal departments and agencies will report annually to the Secretary on the obligation, expenditure status, and the use of funds associated with Federal preparedness assistance programs.

Equipment

(14) The Secretary, in coordination with State and local officials, first responder organizations, the private sector and other Federal civilian departments and agencies, shall establish and implement streamlined procedures for the ongoing development and adoption of appropriate first responder equipment standards that support nationwide interoperability and other capabilities consistent with the national preparedness goal, including the safety and health of first responders.

(15) To the extent permitted by law, equipment purchased through Federal preparedness assistance for first responders shall conform to equipment standards in place at time of purchase. Other Federal departments and agencies that support the purchase of first responder equipment will coordinate their programs with the Department of Homeland Security and conform to the same standards.

(16) The Secretary, in coordination with other appropriate Federal departments and agencies and in consultation with State and local governments, will develop plans to identify and address national first responder equipment research and development needs based upon assessments of current and future threats. Other Federal departments and agencies that support preparedness research and development activities shall coordinate their efforts with the Department of Homeland Security and ensure they support the national preparedness goal.

Training and Exercises

(17) The Secretary, in coordination with the Secretary of HHS, the Attorney General, and other appropriate Federal departments and agencies and in consultation with State and local governments, shall establish and maintain a comprehensive training program to meet the national preparedness goal. The program will identify standards and maximize the effectiveness of existing Federal programs and financial assistance and include training for the Nation's first responders, officials, and others with major event preparedness, prevention, response, and recovery roles. Federal departments and agencies shall include private organizations in the accreditation and delivery of preparedness training as appropriate and to the extent permitted by law.

(18) The Secretary, in coordination with other appropriate Federal departments and agencies, shall establish a national program and a multi-year planning system to conduct homeland security preparedness-related exercises that reinforces identified training standards, provides for evaluation of readiness, and supports the national preparedness goal. The establishment and maintenance of the program will be conducted in maximum collaboration with State and local governments and appropriate

private sector entities. All Federal departments and agencies that conduct national homeland security preparedness-related exercises shall participate in a collaborative, interagency process to designate such exercises on a consensus basis and create a master exercise calendar. The Secretary will ensure that exercises included in the calendar support the national preparedness goal. At the time of designation, Federal departments and agencies will identify their level of participation in national homeland security preparedness-related exercises. The Secretary will develop a multi-year national homeland security preparedness-related exercise plan and submit the plan to me through the HSC for review and approval.

(19) The Secretary shall develop and maintain a system to collect, analyze, and disseminate lessons learned, best practices, and information from exercises, training events, research, and other sources, including actual incidents, and establish procedures to improve national preparedness to prevent, respond to, and recover from major events. The Secretary, in coordination with other Federal departments and agencies and State and local governments, will identify relevant classes of homeland-security related information and appropriate means of transmission for the information to be included in the system. Federal departments and agencies are directed, and State and local governments are requested, to provide this information to the Secretary to the extent permitted by law.

Federal Department and Agency Preparedness

(20) The head of each Federal department or agency shall undertake actions to support the national preparedness goal, including adoption of quantifiable performance measurements in the areas of training, planning, equipment, and exercises for Federal incident management and asset preparedness, to the extent permitted by law. Specialized Federal assets such as teams, stockpiles, and caches shall be maintained at levels consistent with the national preparedness goal and be available for response activities as set forth in the National Response Plan, other appropriate operational documents, and applicable authorities or guidance. Relevant Federal regulatory requirements should be consistent with the national preparedness goal. Nothing in this directive shall limit the authority of the Secretary of Defense with regard to the command and control, training, planning, equipment, exercises, or employment of Department of Defense forces, or the allocation of Department of Defense resources.

(21) The Secretary, in coordination with other appropriate Federal civilian departments and agencies, shall develop and maintain a Federal response capability inventory that includes the performance parameters of the capability, the timeframe within which the capability can be brought to bear on an incident, and the readiness of such capability to respond to domestic incidents. The Department of Defense will provide to the Secretary information describing the organizations and functions within the Department of Defense that may be utilized to provide support to civil authorities during a domestic crisis.

Citizen Participation

(22) The Secretary shall work with other appropriate Federal departments and agencies as well as State and local governments and the private sector to encourage active citizen participation and involvement in preparedness efforts. The Secretary shall periodically review and identify the best community practices for integrating private citizen capabilities into local preparedness efforts.

Public Communication

(23) The Secretary, in consultation with other Federal departments and agencies, State and local governments, and non-governmental organizations, shall develop a comprehensive plan to provide accurate and timely preparedness information to public citizens, first responders, units of government, the private sector, and other interested parties and mechanisms for coordination at all levels of government.

Assessment and Evaluation

(24) The Secretary shall provide to me through the Assistant to the President for Homeland Security an annual status report of the Nation's level of preparedness, including State capabilities, the readiness of Federal civil response assets, the utilization of mutual aid, and an assessment of how the Federal first responder preparedness assistance programs support the national preparedness goal. The first report will be provided within 1 year of establishment of the national preparedness goal.

(25) Nothing in this directive alters, or impedes the ability to carry out, the authorities of the Federal departments and agencies to perform their responsibilities under law and consistent with applicable legal authorities and presidential guidance.

(26) Actions pertaining to the funding and administration of financial assistance and all other activities, efforts, and policies in this directive shall be executed in accordance with law. To the extent permitted by law, these policies will be established and carried out in consultation with State and local governments.

(27) This directive is intended only to improve the internal management of the executive branch of the Federal Government, and it is not intended to, and does not, create any right or benefit, substantive or procedural, enforceable at law or in equity, against the United States, its departments, agencies, or other entities, its officers or employees, or any other person.

GEORGE W. BUSH

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APPENDIX D—CAPABILITIES-BASED PLANNING OVERVIEW

The National Preparedness Goal adopts a capabilities-based approach. This Appendix provides an overview of capabilities-based planning. It explains how to use capabilities as a framework to implement the Goal consistently in planning and resource allocation; training, exercises, and lessons learned; and assessment and reporting. The overview is organized in four sections:

1. Definition
2. Planning Tools Referenced in the National Preparedness Goal
3. General Process
4. Suggested Reading

1. Definition

The formal definition of capabilities-based planning is:

... planning, under uncertainty, to provide capabilities suitable for a wide range of challenges while working within an economic framework that necessitates prioritization and choice. (see Section 4.0)

Simply put, capabilities-based planning is about making informed choices that best manage the risk and reduce the impact posed by all potential threats and hazards and reflecting those choices consistently in preparedness programs and activities. Using capabilities-based planning will enable an entity to improve its overall preparedness and to offer support to other entities across the Nation during major events, which will provide invaluable opportunities to gain experience, observe best practices, and share lessons learned.

2. Planning Tools Referenced in the National Preparedness Goal

The National Preparedness Goal utilizes and references three capabilities-based planning tools, including the National Planning Scenarios, Universal Task List (UTL), and Target Capabilities List (TCL).

National Planning Scenarios.

While much preparedness applies across the all-hazards spectrum, the National Strategy for Homeland Security attaches special emphasis to preparing for catastrophic threats with “*the greatest risk of mass casualties, massive property loss, and immense social disruption.*” To address this requirement, a Federal interagency working group developed the National Planning Scenarios. The scenarios are not intended to be exhaustive or predictive; rather, they are meant to illustrate the potential scope, magnitude, and complexity of a range of major events, including terrorist attacks, major disasters, and other emergencies. The National Planning Scenarios are listed in Figure 2, in no particular order of priority.

Figure D-1: National Planning Scenarios

1. Improvised Nuclear Device	9. Major Earthquake
2. Aerosol Anthrax	10. Major Hurricane
3. Pandemic Influenza	11. Radiological Dispersal Device
4. Plague	12. Improvised Explosive Device
5. Blister Agent	13. Food Contamination
6. Toxic Industrial Chemicals	14. Foreign Animal Disease
7. Nerve Agent	15. Cyber
8. Chlorine Tank Explosion	

Entities at all levels of government should use the National Planning Scenarios as a reference to help them evaluate and improve their capabilities to perform their assigned missions and tasks in major events. Entities are not precluded from developing their own scenarios to supplement the National Planning Scenarios. Use of specific National Planning Scenarios in Federally-funded training and exercises will be addressed in program guidance. DHS will maintain a National Planning Scenario portfolio and update it periodically based on changes in the homeland security strategic environment. The current version is available on the ODP Secure Portal (<https://odp.esportals.com>) and the Lessons Learned Information Sharing system (<https://www.llis.dhs.gov>).

Universal Task List (UTL).

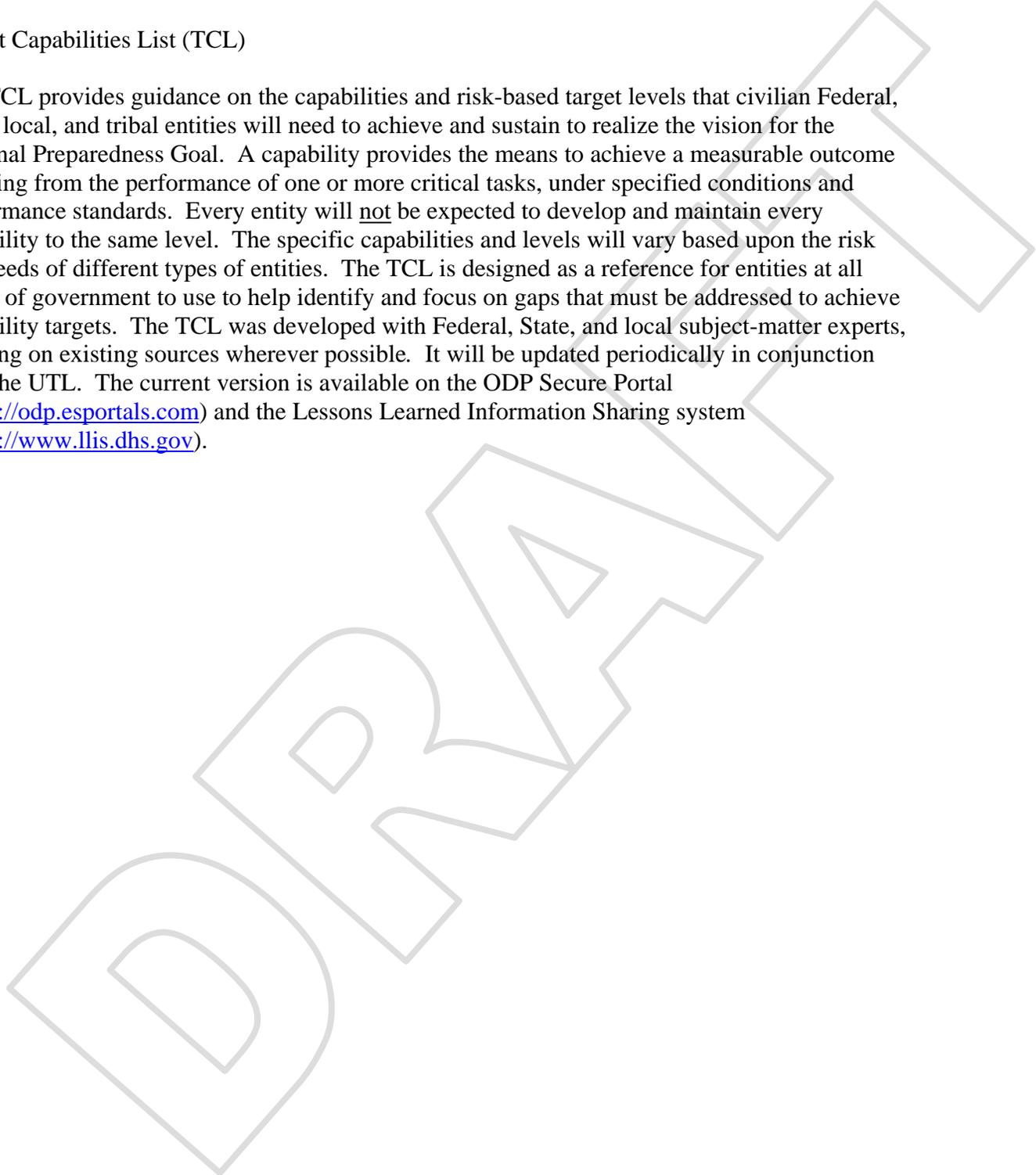
The UTL provides a menu of tasks required to prevent, protect against, respond to, and recover from major events represented by the National Planning Scenarios. Most of the tasks are common to many, if not all, of the Scenarios. No single entity is expected to perform every task. The UTL serves as a common language and reference system that will support efforts to describe operational tasks and *how well* they should be performed, so that personnel from across the Nation can work together effectively when required. The UTL does not identify who will perform the task or how it should be performed; that is addressed more appropriately in operations plans and procedures. Critical tasks are those tasks that are essential to achieving success in a homeland security mission for a major event to prevent occurrence, to minimize loss of life and serious injuries, or to mitigate significant property damage. Critical tasks, when linked to operating conditions and performance standards, provide the primary source of learning objectives for training and exercises, as well as input to operations planning and performance evaluation. Operating conditions are variables of the operating environment, such as the terrain, weather, presence of an adversary, and complexity of multi-agency relationships that may affect performance. The UTL will include performance measures and criteria that can be used to help define performance standards.

Entities at all levels of government should use the UTL as a reference to help them design training and exercises that develop proficiency to perform their assigned missions and tasks in major events. The UTL was developed with Federal, State, local, tribal, private sector, and non-governmental subject-matter experts, drawing on existing sources wherever possible. The UTL

will be updated periodically in conjunction with the TCL. The current version is available on the ODP Secure Portal (<https://odp.esportals.com>) and the Lessons Learned Information Sharing system (<https://www.llis.dhs.gov>).

Target Capabilities List (TCL)

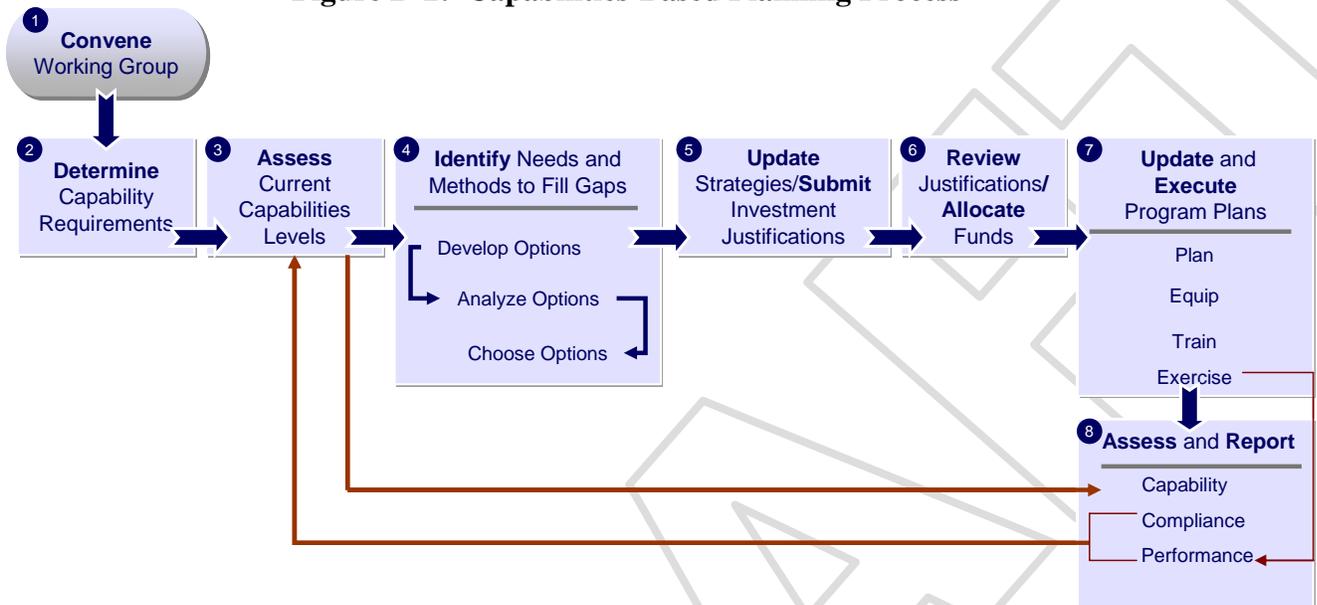
The TCL provides guidance on the capabilities and risk-based target levels that civilian Federal, State, local, and tribal entities will need to achieve and sustain to realize the vision for the National Preparedness Goal. A capability provides the means to achieve a measurable outcome resulting from the performance of one or more critical tasks, under specified conditions and performance standards. Every entity will not be expected to develop and maintain every capability to the same level. The specific capabilities and levels will vary based upon the risk and needs of different types of entities. The TCL is designed as a reference for entities at all levels of government to use to help identify and focus on gaps that must be addressed to achieve capability targets. The TCL was developed with Federal, State, and local subject-matter experts, drawing on existing sources wherever possible. It will be updated periodically in conjunction with the UTL. The current version is available on the ODP Secure Portal (<https://odp.esportals.com>) and the Lessons Learned Information Sharing system (<https://www.llis.dhs.gov>).



3. General Process

The general process is depicted in Figure D-2. The general process presented in this section is based on a synthesis of ideas extracted from a variety of sources (see Section 4). This description is expected to be refined over time with user feedback and to be supplemented with specific instructions in annual program guidance.

Figure D-2: Capabilities-Based Planning Process



Step 1: Convene Working Group

The preferred method for conducting the planning process is as a collaborative effort. The process should begin with a chartered, representative working group to oversee the process of preparedness requirements. Initial activities should focus on becoming familiar with the capabilities-based planning process and planning tools.

It is strongly encouraged that, wherever possible, previously established working groups are used for this process. The working group should be multi-disciplinary, multi-agency, and multi-jurisdictional. Where appropriate, private sector and nongovernmental partners should be included. The intent is to bring together practitioners from across disciplines so that they can be effective advisors to senior decision makers that formulate strategies, justify, and allocate funds.

Step 2: Determine Capability Requirements

The working group will determine risk-based target levels for each capability by reviewing the TCL.

Step 3: Assess Current Capability Levels

The core of the capabilities-based planning approach is the need to compare current capabilities with risk-based target levels as defined from the TCL. The working group will coordinate an assessment of current level of capability. Capability assessments measure current level of capability against the target levels of capability from the TCL applicable to the level of government. Comparison will reveal “gaps” (implying outcomes cannot be accomplished with current capabilities); “excesses” (unnecessary redundancy exists or a specific capability is no longer needed); and “deficiencies” (a capability exists, but is insufficient to provide a reasonable assurance of success against a specified scenario). All required capabilities and expertise will not be present in the State or jurisdiction. Many will be secured through multi-agency coordination (i.e., mutual aid, acquisition through contracting, and resources from non-governmental and private sector partners).

DHS is currently conducting a capabilities assessment pilot project to aid in the development of a standard methodology for capability assessments. More specific information will be provided in future year program guidance.

Step 4: Identify, Analyze, and Choose Options

An important aspect of capabilities-based planning is in selecting methods to fill capability gaps and deficiencies. This step involves translating a capability gap or deficiency into specific needs and determining a mix of resource needs. The approach involves an analytical process using comparative, trade-off, and risk analysis. Recognizing that there is usually more than one resource combination that can address a capability gap or deficiency, the analysis involves identifying options, analyzing options, and choosing options. This analysis provides senior decision makers with alternative combinations of resources or solution sets for each capability gap or deficiency. The analysis components are described below.

Identify Options – In identifying options, the range of options should be kept to a manageable number, but solutions should be applied in determining ways to implement a capability. In reviewing options, the resourcefulness of applying mutual aid between geographic areas and levels of government should be considered. A capability may be delivered with any combination of properly planned, organized, equipped, trained and exercised personnel that achieve the desired outcome. These elements of capability are described in detail in Figure D-3.

Figure D-3: Elements of Capability

Personnel	Paid and volunteer staff who meet relevant qualification and certification standards necessary to perform assigned missions and tasks.
Planning	Collection and analysis of intelligence and information, and development of policies, plans, procedures, mutual aid agreements, strategies, and other publications that comply with relevant laws, regulations, and guidance necessary to perform assigned missions and tasks.
Organization and Leadership	Individual teams, an overall organizational structure, and leadership at each level in the structure that comply with relevant laws, regulations, and guidance necessary to perform assigned missions and tasks.
Equipment and Systems	Major items of equipment, supplies, facilities, and systems that comply with relevant standards necessary to perform assigned missions and tasks.
Training	Content and methods of delivery that comply with relevant training standards necessary to perform assigned missions and tasks.
Exercises, Evaluations, and Corrective Actions	Exercises, self-assessments, peer-assessments, outside review, compliance monitoring, and actual major events that provide opportunities to demonstrate, evaluate, and improve the combined capability and interoperability of the other elements to perform assigned missions and tasks to standards necessary to achieve successful outcomes.
NOTE: Elements of capability are consistent with NIMS	

Analyze Options. Once a range of options are identified, each should be analyzed and prioritized against a standard set of criteria. The analysis will determine which combination of resources may provide the desire capability, or capabilities, and address risk appropriately. Examples of criteria include:

- Ability of the identified approaches to provide the desired capability;
- Ability of the approaches to deliver the total capability. If it cannot deliver the total capability, evaluate how much of the capability can be met;
- Delivery time frame;
- Relative improvement in capability level provided by the approaches as compared to the existing capability; and
- Cost to develop, procure and sustain the approaches versus the cost to sustain the existing capability.

Choose Options. The results of the analysis are presented to senior decision makers for consideration. Risk determinations are embedded in the decision making process. Risk determinations will consider the capability gap, excesses, and deficiencies; issues identified during analysis (as identified in the analyze options component criteria); strategic concerns and implications; and consider the following:

- Can the capability outcome be accomplished and provide a reasonable assurance of success?
- What are the potential costs? Are the costs appropriate for the benefit gained and does the timing impact results?
- What is the impact on planning? Is the solution compatible with other solutions and can mutual aid be applied?

By applying known constraints and examining all capabilities, a preferred solution set will be selected by conducting comparative, trade-off and risk analysis. The results will be consolidated into a prioritized, balanced, resource-constrained portfolio across all relevant capabilities.

Step 5: Update Strategies and Submit Investment Justifications

Once options are chosen, State and Urban Areas can update their preparedness strategies and prepare and submit annual investment justifications. The strategies should be aligned with the National Preparedness Goal and support and facilitate cooperation and mutual aid. Strategies are multi-year planning vehicles supported by specific annual work plans that describe each year's approach to meeting the longer term strategy. Investment justifications should identify prioritized resource needs to close capability gaps.

For further information:

- Individual Federal preparedness assistance programs are developing guidance on requirements for FY 2006. One example is the DHS FY 2006 Homeland Security Grant Program (HSGP) Guidance and Application Kit. The FY 2006 HSGP Guidance provides further instructions on the specific analytical process required in the application for relevant FY 2006 DHS grant funding. The document can be downloaded from: <http://www.ojp.usdoj.gov/odp/library/bulletins.htm>.
- Initial State and Urban Area Homeland Security Strategies were developed by each State and UASI Urban Area in 2003 in accordance with ODP's guidance provided at: <http://www.shsasresources.com>. Guidance for updating the Strategies to align with the national priorities in the Interim National Preparedness Goal was provided in ODP Information Bulletin No. 183 which is available at: <http://www.ojp.usdoj.gov/odp/docs/info183.pdf>. Related guidance is available at: http://www.ojp.usdoj.gov/odp/docs/info183_StrategyGuidance.pdf. SAAs must apply for

FY 2006 HSGP funding through the online Grants Management System (GMS) at <https://grants.ojp.usdoj.gov/>.

Step 6: Review Justifications and Allocate Funds

The review of investment justifications and allocation of funds occurs at all levels of government. At each level, relevant decision makers will lead a comparison of investment justifications and map these to relevant preparedness programs. Using capabilities-based planning, the aim is to produce an effective mixed preparedness portfolio across the Nation. Ultimately, balancing the Federal preparedness portfolio will contribute to a more prepared Nation through the following:

- Maximizing the allocation of national preparedness investments and resources to improve preparedness in the most efficient and effective manner;
- Providing clarity in resource allocation decisions based on consistent criteria and decision-making framework; and
- Encouraging a regional and/or mutual-aid partner approach to national preparedness.

Once funds are allocated, annual work plans may be updated to reflect the funding received and the associated courses of action to build capabilities in accordance with the overall guiding strategy.

Step 7: Update and Execute Program Plans

Execution is where the strategies and plans previously developed and/or updated are implemented. Annual work plans are carried out by all relevant stakeholders. Execution is focused on:

- Administering programs;
- Purchasing equipment in accordance with documented needs and specified standards;
- Developing and conducting training to fill capability gaps; and
- Developing and conducting exercises to demonstrate performance.

For further information:

- Allowable equipment categories for FY 2006 HSGP are listed on the web-based Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), which is sponsored by ODP and the Oklahoma City National Memorial Institute for the Prevention of Terrorism (MIPT) at <http://www.rkb.mipt.org>.
- DHS and its training partners are currently engaged in an effort to map ODP training courses to the TCL to provide a training “toolbox” that will map training against target capabilities. The toolbox will enable Federal, State, local, and tribal entities to rapidly

identify training that relates to capabilities for which they have identified needs in their homeland security strategies, after action reports, and improvement plans.

- At a minimum, entities should have specific program plans for preparedness training and exercises. The Homeland Security Exercise and Evaluation Program (HSEEP) consists of both doctrine and policy for designing, developing, conducting and evaluating exercises. The most current version of HSEEP can be found online at: <http://www.ojp.usdoj.gov/odp/docs/hseep.htm>.
- Additional information on each of these programs can be found on the ODP website located at: <http://www.ojp.usdoj.gov/odp> or by contacting the state's assigned ODP Preparedness Officer.

Step 8: Assess and Report

An assessment process provides a continuously validated baseline for preparedness levels. Capability, compliance, and performance assessments provide the basis to determine the preparedness of individual areas and levels of governments, as well as serve to view preparedness from a national perspective. Capability assessments are discussed in Step 3. Other types of assessment include performance and compliance assessments. Performance and compliance assessments serve to validate levels of capability. Compliance assessments will provide insight into conformance with requirements (e.g., NIMS and other national programs). Performance assessments will be provided through exercise program results.

Assessments are performed on a regular basis. Data from assessments serve to update and validate the preparedness baseline. Information from these assessments provides a comprehensive indicator for how well capability levels are achieved and maintained. The results of these assessments will be presented to decision makers for discussion and will be used as a mechanism to develop subsequent guidance. Analysis from assessments will enable decision makers at all levels to ensure the appropriate balance among resources allocated to strengthen specific capabilities. This analysis will also help to develop a comprehensive "snapshot" of national preparedness. Overall progress towards increasing our national level of preparedness will be documented and communicated through a national reporting cycle and Annual Status Report.

The desired end state is to move the homeland security community forward to meet the National Preparedness Goal and achieve fully integrated, unified homeland security capabilities. At all levels, information from capabilities-based planning will be used by preparedness programs to refine program structures and strategies. This requires an understanding of needs at the national level through analysis of assessment data. Results of the analyses will be used to update national priorities in the National Preparedness Goal and provide enhanced strategic direction for the Nation.

4. Suggested Reading

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