

# FACT SHEET



# Homeland Security

## Support for the National Preparedness Goal

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“...we must acknowledge that although we have substantial resources to provide security, these resources are not unlimited. Therefore, we as a nation must make tough choices about how to invest finite human and financial capital to attain the optimal state of preparedness... That is why the Department’s recently released *National Preparedness Goal* -- and additional, risk-based planning – will form our standard in allocating future DHS grants to our state and local partners so that we build the right capabilities in the right places at the right level. Federal money should be distributed using the risk-based approach that we will apply to all preparedness activities.”

*- Department of Homeland Security Secretary Michael Chertoff announcing the results of Second Stage Review, July 13, 2005*

“The International Association of Emergency Managers is encouraged by the roll-out of the National Preparedness Goal and its related components by the U.S. Department of Homeland Security. Emergency managers at all levels of government will be aided by the consistency and cooperation that will be afforded by using the all-hazards approach to planning across the local, state, tribal, federal and private sectors. The National Preparedness Goal will significantly step up the degree of preparedness of the nation and allow emergency managers everywhere to better serve their communities.”

*- International Association of Emergency Managers*

“The IACP supports the implementation of the Goal and will continue to work within the emergency services community to efficiently and effectively prepare for the potential major events with which our Country is confronted.”

*- International Association of Chiefs of Police (IACP)*

"DHS has taken great steps to ensure State and local needs and views are incorporated into the National Preparedness Goal and its accompanying planning tools. Through this partnership, the Goal will provide better focus in planning efforts at every level of government."

*-City of New York Office of Emergency Management*

“NEMA is supportive of efforts to develop a national preparedness goal and accompanying standards so we as a nation are working toward common levels of preparedness.”

*- National Emergency Management Association (NEMA), Statement before the House Transportation and Infrastructure Subcommittee on Economic Development, Public Buildings, and Emergency Management, April 14, 2005*

“...The IAFC is generally supportive of the national preparedness system that has at its core a new partnership between all levels of government and the private sector.”

*- International Association of Fire Chiefs (IAFC), Statement before the House Transportation and Infrastructure Subcommittee on Economic Development, Public Buildings and Emergency Management, April 14, 2005*

For more information, go to <http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm>  
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# FACT SHEET



# Homeland Security

## **A Common Approach to Preparedness: The National Preparedness Goal**

Terrorist attacks, natural disasters, and other emergencies respect neither political nor geographic boundaries. To deal with major events effectively requires a national preparedness system that makes clear the roles and missions of entities at all levels, strengthens preparedness partnerships, establishes performance objectives and measures, and directs the allocation of resources and prioritization of investments. A major milestone in building this national preparedness system is the Interim National Preparedness Goal (the Goal). The Goal will transform the way we think about preparedness by defining *capabilities* that must be in place, at appropriate levels, to prevent and respond to current and future threats and hazards. The Goal establishes measurable targets and priorities to guide the Nation's planning, and provides a systematic approach for determining how prepared we are, how prepared we need to be, and how we should prioritize efforts to close the gap.

### **Homeland Security Presidential Directive 8**

Homeland Security Presidential Directive 8: *National Preparedness* (HSPD-8) calls for an all-hazards **National Preparedness Goal** that establishes measurable priorities, targets, and a common approach to developing needed capabilities.

### **Capabilities-Based Planning**

The Goal utilizes a Capabilities-Based Planning approach: planning, under uncertainty, to provide capabilities suitable for a wide range of threats and hazards, within an economic framework that necessitates prioritization and choice. Capabilities-Based Planning addresses uncertainty by analyzing a wide range of possible scenarios to identify required capabilities. The Capabilities-Based Planning tools and products are:

- **National Planning Scenarios**: Planning documents that provide parameters for 15 terrorist attacks and natural disasters, providing the basis to define prevention, protection, response and recovery tasks, and the capabilities required to perform them.
- **Universal Task List**: A reference tool that provides a comprehensive menu of tasks to be performed by different disciplines at all levels of government to address major events.
- **Target Capabilities List**: A list and description of the capabilities needed to perform critical homeland security tasks found in the Universal Task List.

### **National Preparedness Goal Vision:**

“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 National Priorities**

The National Preparedness Goal also includes seven **national priorities**. The national priorities are: Implement the National Incident Management System (NIMS) and the National Response Plan (NRP), Expanded Regional Collaboration, Implement the Interim National Infrastructure Protection Plan, Strengthen Information Sharing and Collaboration Capabilities, Strengthen Interoperable Communications Capabilities, Strengthen CBRNE Detection, Response and Decontamination Capabilities, and Strengthen Medical Surge and Mass Prophylaxis Capabilities. Efforts to achieve these seven priorities will not only address essential needs in the near-term, they will also reinforce national efforts to achieve the target capabilities that are imperative to national preparedness for the longer-term.

For more information, go to <http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm>  
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# FACT SHEET



# Homeland Security

## HSPD-8 in Context: the NRP, NIMS, and the Goal

Complex 21<sup>st</sup> century threats, exemplified by the horrific events of September 11<sup>th</sup> 2001, demand that all Americans share responsibility for homeland security. All levels of government, the private sector, and non-governmental agencies must be prepared to prevent, protect against, respond to, and recover from a wide spectrum of major events that exceed the capabilities of any single entity. These hazards require a unified and coordinated national approach to planning and to domestic incident management. To address this need, Homeland Security Presidential Directive 5: *Management of Domestic Incidents* (HSPD-5) and Homeland Security Presidential Directive 8: *National Preparedness* (HSPD-8) establish national initiatives that develop a common approach to preparedness and response. The initiatives are the **National Incident Management System** (NIMS), the **National Response Plan** (NRP), and the **National Preparedness Goal** (the Goal).

### A Common Approach to National Response

- The NIMS provides a consistent framework for incident management at all jurisdictional levels regardless of the cause, size or complexity of the incident. Building upon the Incident Command System (ICS), the NIMS provides the nation's first responders and authorities with the same foundation for incident management for terrorist attacks, natural disasters and other emergencies.
- The NRP is an all-discipline, all-hazards plan for the management of domestic incidents. Using the template established by the NIMS, the NRP provides the structure and mechanisms to coordinate and integrate incident management activities and emergency support functions across Federal, State, local and tribal government entities, the private sector and non-governmental organizations.

### A Common Approach to National Preparedness

- The Goal establishes readiness priorities, targets, and metrics. It will enable the Nation to answer three key questions: "How prepared do we need to be?" "How prepared are we?" and "How do we prioritize efforts to close the gap?"
- The Goal will enable entities across the Nation to more easily pinpoint capabilities that need improvement and sustain capabilities at levels needed to manage major events using the protocols established by the NRP and NIMS.

### Each Reinforces the Others

Together, NIMS, the NRP, and the Goal define **what** needs to be done to prevent, protect against, respond to and recover from a major event, **how** it needs to be done, and **how well** it needs to be done.

Together, these related efforts align Federal, State, local, tribal, private sector, and non-governmental preparedness, incident management, and emergency response plans into an effective and efficient national structure.

#### TWO COMPLEMENTARY PRESIDENTIAL DIRECTIVES

##### HSPD-5

Identifies steps for improved coordination in response to incidents. It requires the Department of Homeland Security (DHS) to coordinate with other Federal departments and agencies and State, local, and tribal governments to establish a National Response Plan (NRP) and a National Incident Management System (NIMS).

##### HSPD-8

Describes the way Federal departments and agencies will prepare. It requires DHS to coordinate with other Federal departments and agencies and State, local, and tribal governments to develop a National Preparedness Goal (the Goal).

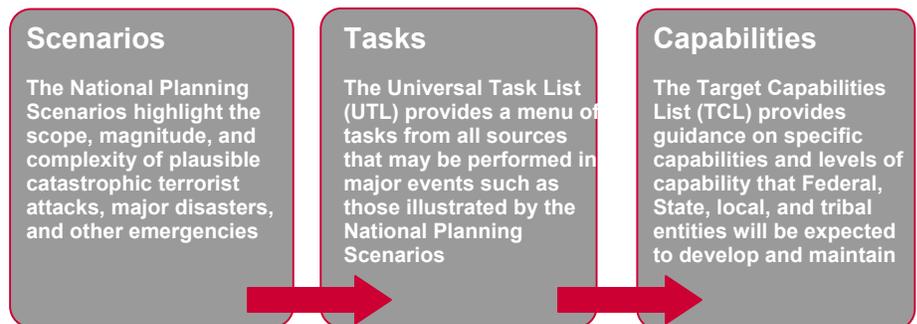


## Strengthening National Preparedness: Capabilities-Based Planning

Homeland Security Presidential Directive 8: *National Preparedness* (HSPD-8) calls for an all-hazards **National Preparedness Goal** (the Goal) that establishes measurable priorities, targets, and a common approach to developing needed capabilities. The Goal sets forth a Capabilities-Based Planning approach to help 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. Defining risk-based target levels of capability for the Goal involves identifying a plausible range of major events; the tasks to be performed in prevention, protection, response, and recovery that would require a coordinated national effort; and the specific capabilities and levels of capability that would minimize the impact on lives, property, and the economy. Key Capabilities-Based Planning tools and products are explained below:

### National Planning Scenarios

The Nation must prepare for the next major event, not the last one. Fifteen **National Planning Scenarios** highlight a plausible range of major events such as terrorist attacks, major disasters, and other emergencies, that pose the greatest risk to the Nation. The scenarios are not intended to be exhaustive or predictive. Nor do they do address every possible situation, but in combination, they illustrate the tasks and capabilities required to respond to a wide range of major events. The National Planning Scenarios should be used by entities at all levels of government as a reference to help identify the critical tasks and capabilities that would be required from all sources in a coordinated national effort to manage major events.



### Universal Task List

The **Universal Task List (UTL)** is a useful planning reference: a comprehensive menu of tasks that may be performed in major events illustrated by the National Planning Scenarios. The UTL describes “what” tasks need to be performed. Federal, State, local, and tribal entities reserve the flexibility to determine “who” needs to perform them and “how” to perform them. While no single jurisdiction or agency is expected to be able to perform all of the tasks, it is expected that tasks will be chosen based on specific roles, missions, and functions. The UTL should be used by entities at all levels of government as a reference to help them plan, organize, equip, train, exercise, and evaluate personnel for the critical tasks that they may need to perform in major events that could occur across town or across the Nation. Both the UTL and TCL are considered “living” documents that will continue to be refined over time.

### Target Capabilities List

The **Target Capabilities List (TCL)** provides guidance on the specific capabilities and levels of capability that Federal, State, local, and tribal entities will be expected to develop and maintain. A capability may be delivered with any combination of properly planned, organized, equipped, trained, and exercised personnel that achieves the outcome. The TCL is designed to assist jurisdictions and agencies in understanding and defining their respective roles in a major event, the capabilities required to perform a specified set of tasks, and where to obtain additional resources if needed.

The Planning Tools are available at the secure sites <https://odp.esportals.com> and <http://www.llis.gov>  
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# FACT SHEET



# Homeland Security

## **A Nation Prepared: The Target Capabilities List**

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To address national preparedness, the President issued Homeland Security Presidential Directive 8: *National Preparedness* (HSPD-8) which calls for a **National Preparedness Goal** that establishes measurable priorities, targets, and a common approach to developing needed capabilities. The Goal utilizes a Capabilities-Based Planning approach to help answer the questions “how prepared are we?” “how prepared do we need to be?” and “how do we prioritize efforts to close the gap?” A central objective of Capabilities-Based Planning is the identification of target levels of capabilities that Federal, State, local, and tribal entities must achieve to perform critical tasks for homeland security missions. Capabilities are combinations of resources that provide the means to achieve a measurable outcome resulting from performance of one or more critical tasks, under specified conditions and performance standards. Version 1.0 of the **Target Capabilities List** (TCL) identifies 36 target capabilities.

### **Capabilities-Based Planning**

Capabilities-Based Planning is all-hazards planning. The Goal’s approach focuses efforts on identifying and developing the critical capabilities from the TCL to perform the critical tasks from the **Universal Task List** for the **National Planning Scenarios**. The Scenarios provide common planning factors in terms of the potential scope, magnitude, and complexity of major events that will help to determine the target levels of capability required and apportion responsibility among all potential partners. Developing appropriate capabilities to address this range of scenarios will best prepare the Nation for terrorist attacks, major disasters, and other emergencies.

### **Defining Target Capabilities**

A capability may be delivered with any combination of properly planned, organized, equipped, trained, and exercised personnel that achieve the intended outcome. The TCL is designed to assist Federal, State, local, and tribal entities in understanding and defining their respective roles in a major event, the capabilities required to perform a specified set of tasks, and where to obtain additional resources if needed.

### **Acquiring Needed Capabilities**

As these tools and processes are implemented, requests for preparedness assistance will ultimately be expressed as capability needs with clearly defined requirements: why a capability is needed; how the capability will be used; what function the capability will perform; who will need the capability; when the capability will be available; what key performance and other attributes comprise the capability; how the capability will be supported; what skills will be required and how we train responders; and finally, how much the capability will cost.

Just as no single entity would be expected to perform every task, neither would they be expected to have sufficient levels of every capability needed for a major event. Requirements that exceed an entity’s capabilities would be secured through mutual aid or formal requests for assistance from other levels of government. The Department of Homeland Security (DHS) has developed a proposed structure that groups similarly situated entities into Tiers based on risk factors such as total population, population density, and critical infrastructure. The Tiers system is designed to strengthen regional planning, coordination, and resource sharing to prepare for incidents of national significance. DHS is conducting additional collaboration to better define critical infrastructure and assign capabilities to Tiers.

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



## **A Common Starting Point: The National Priorities**

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The **National Preparedness Goal** (The Goal) envisions a national preparedness system in which all entities have target levels of capability in place and effectively communicate and coordinate resources. Implementing such a system will be a complex undertaking. To guide implementation in the short term, Homeland Security Presidential Directive 8: *National Preparedness* (HSPD-8) calls for the Goal to include **measurable national priorities** to be achieved.

### **Achieving the National Preparedness Priorities**

The National Preparedness Goal establishes measurable priorities, targets, and a common approach to developing needed capabilities. To help correctly balance the potential threat of major events with the requisite resources to prevent, respond to, and recover from them, the Goal also includes seven national priorities. The national priorities were developed after a review of national strategies, directives, Department of Homeland Security (DHS) objectives and priorities, and State homeland security strategies. The priorities fall into two categories: overarching priorities that contribute to development of multiple capabilities, and capability-specific priorities that build selected capabilities from the TCL for which the Nation has the greatest need. Achieving the priorities will help advance national Homeland Security objectives by focusing preparedness efforts and emphasis on the following areas:

#### **Overarching Priorities**

- **Implement the National Incident Management System and National Response Plan:** Implement the National Incident Management System and National Response Plan nation-wide.
- **Expanded Regional Collaboration:** Strengthen regionally-based preparedness by focusing our finite resources on expanded regional collaboration centered on urban areas with the greatest density of population, critical infrastructure, and other significant risk factors.
- **Implement the Interim National Infrastructure Protection Plan :** Strengthen capabilities to protect high-traffic borders, ports, public transit systems, and other high priority critical infrastructure outside the areas of expanded regional collaboration centered on urban areas.

#### **Capability-Specific Priorities**

- **Strengthen Information Sharing and Collaboration Capabilities:** Establishing prevention frameworks based on expanded regional collaboration that are linked in a national network will facilitate efforts to achieve information sharing and collaboration capabilities.
- **Strengthen Interoperable Communications Capabilities:** Achieve interoperability not only in terms of communications, but also in the broad ability of systems and organizations to provide service and to accept service from one another across jurisdiction lines, enabling them to operate effectively together.
- **Strengthen Chemical, Biological, Radiological, Nuclear, and Explosive Detection, Response and Decontamination Capabilities:** Strengthen national capabilities to prevent and deter acts of terrorism
- **Strengthen Medical Surge and Mass Prophylaxis Capabilities:** Establish emergency-ready public health and healthcare entities across the Nation.

# FACT SHEET



# Homeland Security

## Implementing Homeland Security Presidential Directive 8: A Federal, State, Local and Tribal Partnership

The President issued Homeland Security Presidential Directive 8: *National Preparedness* (HSPD-8) in order to develop a national domestic preparedness goal, establish mechanisms for improved delivery of Federal preparedness assistance to State and local governments, and strengthen the preparedness capabilities of Federal, State, local, and tribal entities. HSPD-8 requires the Department of Homeland Security (DHS) to coordinate with the heads of other appropriate Federal departments and agencies and consult with State and local governments. Recognizing that preparedness is a national effort, DHS has engaged stakeholders at all levels of government and in the private and non-profit sectors at every stage of HSPD-8 implementation:

### The Integrated Concept Teams

Three Integrated Concept Teams were convened to address major objectives of HSPD-8: Balanced Investments; Training, Exercises, and Lessons Learned; and Assessment and Reporting. Each team met over a span of three months to develop a vision, explore the current state of programs in their scope, outline the system design needed to support the vision, and identify an implementation approach to migrate to the desired system. Each team had substantial representation from Federal, State, and local stakeholders outside of DHS.

### Conferences and Workshops

DHS has held Workshops to review both the Universal Task List (UTL) and the Target Capabilities List (TCL) to solicit input from key stakeholders. More than 170 Federal, State, local, and tribal representatives attended each meeting and provided valuable insight and suggestions on the UTL and TCL.

### Ongoing Working Groups

DHS has worked closely with a small Federal Working Group and a working group of State, local, and tribal representatives. Over the course of several meetings these Working Groups have reviewed all aspects of the UTL, TCL, and Goal. They have also provided feedback on improving communication, education, and outreach efforts. Organizations represented on the State, local, and tribal working group are listed in the box above.

### Broad Review by Stakeholders

The Interim National Preparedness Goal and other key documents have been posted online for broad review by stakeholders. More than 1500 organizations were invited to comment, including Federal, State, local, and tribal agencies, the private and non-profit sectors, and national professional associations. This number includes 398 municipalities, 112 State agencies, and 94 national associations. This broad review has enabled stakeholders representing all emergency disciplines and every State and territory to provide comments and input on target capabilities.

#### ORGANIZATIONS REPRESENTED ON THE STATE, LOCAL, AND TRIBAL WORKING GROUP

- American Public Works Association
- Association of State & Territorial Health Officials
- City of New York Office of Emergency Management
- County Executives of America
- Fraternal Order of Police
- International Association of Chiefs of Police
- International Association of Emergency Managers
- International Association of Fire Chiefs
- National Association of Counties
- National Association of County and City Health Officials
- National Association of Towns and Townships
- National Emergency Management Association
- National League of Cities
- National Native American Law Enforcement Association
- National Sheriff's Association
- National Volunteer Fire Council
- United States Conference of Mayors

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