



Interim National Preparedness Goal

March 31, 2005



Homeland
Security

Interim National Preparedness Goal

Homeland Security Presidential Directive 8: *National Preparedness*



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PREFACE

I. The Transformation of Homeland Security

Fundamental to the mission of the U.S. Department of Homeland Security is the mitigation of threats, vulnerabilities, and consequences that stem from acts of terrorism and natural disasters. This is a shared responsibility and a shared commitment of Federal, State, local, and tribal governments, as well as the private sector. This document summarizes the initial results of significant work completed since December 17, 2003, when President Bush issued Homeland Security Presidential Directive 8: *National Preparedness* (HSPD-8). This approach transforms 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 and how the Federal government proposes to invest homeland security resources in order to achieve the greatest return on investment for our Nation's homeland security. It is animated by a sense of urgency and by a commitment to risk-based priorities.

II. What We Have Done So Far

The Interim National Preparedness Goal (or Goal) establishes the national vision and priorities that will guide our efforts as we set measurable readiness benchmarks and targets to strengthen the Nation's preparedness and should be utilized in conjunction with two planning tools:

- ***National Planning Scenarios:*** A diverse group of experts drafted a set of fifteen scenarios describing plausible terrorist attacks and natural disasters that would stretch the Nation's prevention and response capabilities. The objective was to develop the minimum number of credible, high-consequence scenarios needed to identify a broad range of prevention and response requirements. The set of fifteen scenarios, while not exhaustive, is meant to be representative of a broad range of potential terrorist attacks and natural disasters. Collectively, they yield core prevention and response requirements that can help direct comprehensive preparedness planning efforts. The Executive Summaries of the National Planning Scenarios can be viewed at <https://odp.esportals.com> or www.llis.gov.
- ***Target Capabilities List:*** The Target Capabilities List (TCL) is a set of thirty-six essential capabilities that should be developed and maintained, in whole or in part, by various levels of government to prevent, protect against, respond to, and recover from terrorist attacks and major disasters. This list, which is summarized herein, was derived by utilizing the National Planning Scenarios to identify the critical tasks that would need to be performed across the fifteen scenarios. The full documentation for the TCL can also be viewed at <https://odp.esportals.com> or www.llis.gov.

III. Honoring the Principle of Federalism

An essential commitment of this undertaking was to ensure that the results were national products, not just Federal products. Of course, our country consists of thousands of sovereign governments who all play a part – some larger than others – in securing our homeland. As a result, we have developed the Goal, National Planning Scenarios, and Target Capabilities in coordination with the

heads of other appropriate Federal departments and agencies, in consultation with State, local, and tribal governments, and in partnership with the private sector and non-governmental organizations. Hundreds of entities and thousands of individuals at all levels of government, as well as people from outside the government, reviewed and contributed to the development of these documents. As we further refine the Goal and planning documents, we will continue to work closely with our Federal, State, local, tribal, private sector and non-government stakeholders.

These documents are not micro-level plans that tell first responders or public officials how to do their work and execute their missions. These documents focus on the capabilities collectively needed to prevent, protect against, respond to, or recover from a terrorist attack or natural disaster. With that in mind, these documents are not intended to impose a specific array and number of assets on each community. Each governmental entity possesses varying levels of equipment, trained personnel, and resource tools – including mutual aid agreements – that can be used to deploy appropriate capabilities. Finally, these documents are not funding formulas. The documents do identify core capabilities we want to possess as a Nation and, therefore, will drive how we prioritize our Federal investments.

IV. The Road Ahead

Much work remains to be done to build upon this product. In the next two weeks, we will publish the National Preparedness Guidance. The Guidance will include detailed instructions on how communities can use the Goal and a description of how the Goal will generally be used in the future to allocate Federal preparedness assistance. Over the next several months, we will work closely with all of our stakeholders to identify the levels of capabilities that various types of jurisdictions should possess in order for the Nation to reach the desired state of national preparedness – knowing that our environment is constantly changing. Once the levels are identified, we will augment this document to provide those recommended capability levels.

For Fiscal Year 2006, our focus initially will be on significantly improving performance relative to the seven National Priorities listed in the Interim Goal. These seven priorities are a limited number of the critical capabilities and cross-cutting initiatives that should drive near-term planning and resource allocation efforts. States and Urban Areas will develop addenda to update their Homeland Security Preparedness Strategies. They will submit these addenda on October 1, 2005, to reflect how they will address the seven National Priorities in order to receive further Federal preparedness assistance. For Fiscal Year 2007, our focus will broaden to address other critical risk-based priorities within the thirty-six capabilities. States and Urban Areas will revise their Homeland Security Preparedness Strategies, and submit the fully updated strategies pursuant to the Final Goal in order to receive further Federal preparedness assistance.

As we develop Federal assistance programs in Fiscal Year 2006 and beyond, our focus will be to leverage our homeland security resources in order to achieve the highest possible readiness. To do that, we will utilize the information provided by States and Urban Areas to close the capability gap between where we are today and where we want to be tomorrow. We believe that this prioritized, capabilities-based approach will allow us to improve substantially our ability to prevent, protect against, respond to, and recover from a terrorist attack or natural disaster.

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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 will be made available on the
Office for Domestic Preparedness (ODP) Secure Portal (<https://odp.esportals.com>)
and the Lessons Learned Information Sharing system (<http://www.llis.gov>).

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

1.0 INTRODUCTION

The terrorist attacks on September 11, 2001, confirmed that all Americans share responsibility for homeland security. Federal, State, local, tribal, private sector, and non-governmental entities and individual citizens across the Nation need to prepare together for major events that will exceed the capabilities of any single entity. The American structure of overlapping Federal, State, local, and tribal levels of governance provides unique opportunities and challenges. Opportunities arise from the flexibility to explore differences, based on unique roles and responsibilities, and share best practices across the Nation. Challenges arise from the need to develop interconnected and complementary national systems that respect those differences and balance flexibility with accountability.

On December 17, 2003, the President issued Homeland Security Presidential Directive 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 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.*” To prepare as a Nation, HSPD-8 recognizes that, in addition to their direct role in preparedness, government entities must find ways to encourage active participation and involvement of private and non-governmental entities and citizens in national preparedness wherever possible.

HSPD-8 establishes the Secretary of Homeland Security as “*the principal Federal official for coordinating the implementation of all-hazards preparedness in the United States*” and requires establishment of a National Preparedness Goal. “*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. ...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.*”

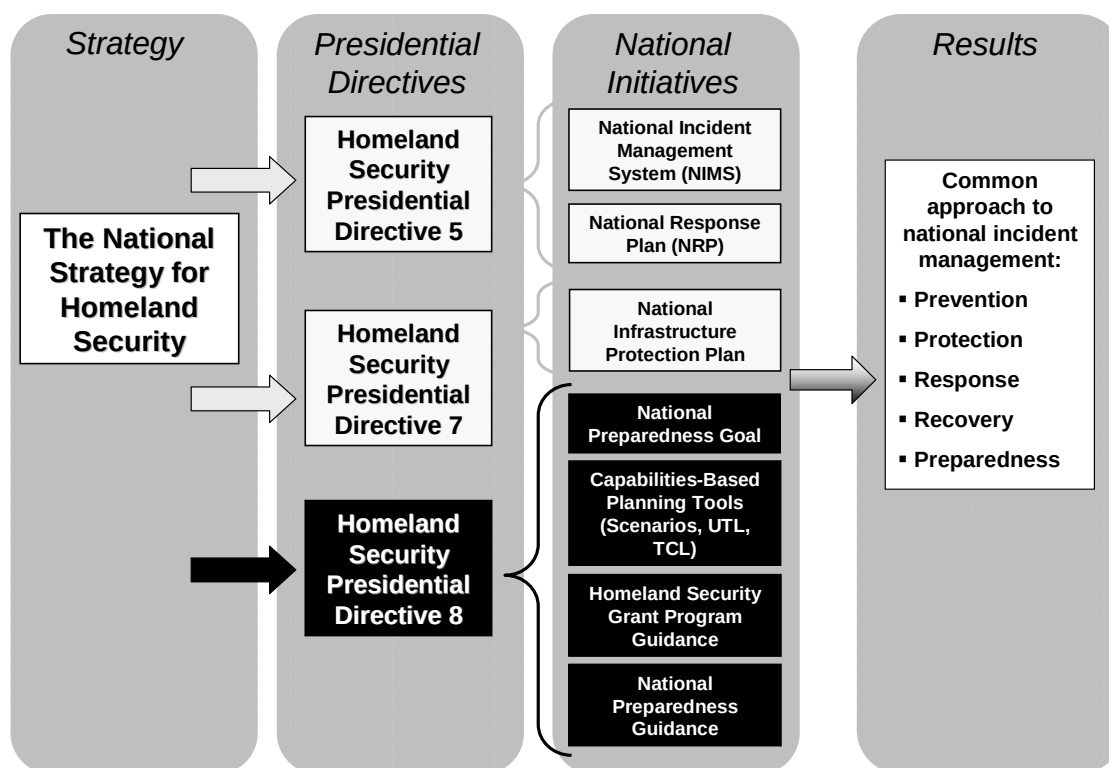
The Secretary of Homeland Security charged the Executive Director of the Office of State and Local Government Coordination and Preparedness (DHS/SLGCP) with responsibility to lead HSPD-8 implementation on his behalf. The National Preparedness Goal (or Goal) is a product of the DHS team, working in coordination with Federal, State, local, tribal, private sector, and non-governmental stakeholders. It provides the means for the Nation to answer three fundamental questions: “*How prepared do we need to be?*”, “*How prepared are we?*”, and “*How do we prioritize efforts to close the gap?*”

1.1 Relationship to Other Documents

In February 2003, the President issued Homeland Security Presidential Directive 5: *Management of Domestic Incidents* (HSPD-5). HSPD-5 requires DHS to lead a coordinated national effort with other Federal departments and agencies and State, local, and tribal governments to establish a National Response Plan (NRP) and National Incident Management System (NIMS). HSPD-8 is a companion to HSPD-5 (see Figure 1). The Goal will help 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 and NIMS.

In December 2003, the President issued Homeland Security Presidential Directive: *Critical Infrastructure Identification, Prioritization, and Protection* (HSPD-7). HSPD-7 requires DHS to work closely with other Federal departments and agencies, State and local governments, and the private sector in producing a comprehensive, integrated National Infrastructure Protection Plan (NIPP). The Plan will include coordination and integration, as appropriate, with other Federal emergency management and preparedness activities, including the NRP and applicable national preparedness goals. HSPD-8 supports and complements HSPD-7. The Goal will help 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: HSPD-8 in Context



1.2 National Preparedness Defined

HSPD-8 defines preparedness as “*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.*” HSPD-8 refers to preparedness for major events as “*all-hazards preparedness.*” It defines major events as “*domestic terrorist attacks, major disasters, and other emergencies.*” Major events are synonymous with Incidents of National Significance under the NRP. Incidents of National Significance are defined based on criteria established in HSPD-5 (paragraph 4), as actual or potential high-impact events that require a coordinated and effective response by an appropriate combination of Federal, State, local, tribal, nongovernmental, 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.

NIMS defines preparedness as “*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.*” The two definitions are complementary. National preparedness involves a continuous cycle of activity to develop the elements (e.g., plans, procedures, policies, training, and equipment) necessary to maximize the capability to prevent, protect against, respond to, and recover from domestic incidents, especially major events that require coordination among an appropriate combination of Federal, State, local, tribal, private sector, and non-governmental entities, in order to minimize the impact on lives, property, and the economy.

1.3 Vision

The National Strategy for Homeland Security (National Strategy), issued 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.*”

Building upon that strategic intent, 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.

1.4 Interim National Preparedness Goal

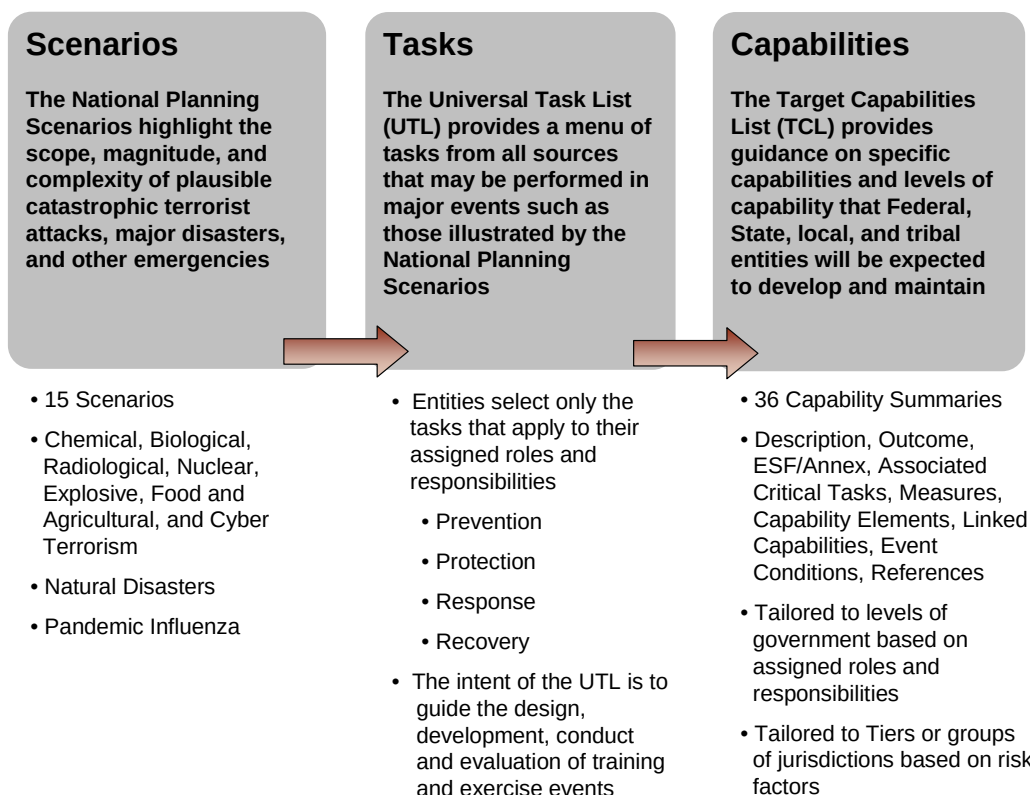
As required in HSPD-8, the Goal will include readiness targets, priorities, standards for preparedness assessments and strategies, and a system for assessing the Nation's overall level of preparedness. Many of these elements will continue to be updated or refined over time. This document reflects the Department's progress to date to develop each of those elements in coordination with other entities. It will remain in effect until superseded by the Final National Preparedness Goal. The Department will continue to lead an effort with input from Federal, State, local, tribal, private sector, and non-governmental subject-matter experts to define target levels of capability and apportion responsibility for these levels and/or their components among levels of government and groups (or Tiers) of jurisdictions. The Final Goal and a Target Capabilities List (TCL), updated to include the target levels of capabilities, will be issued on October 1, 2005.

2.0 CAPABILITIES-BASED PLANNING TO DEFINE READINESS TARGETS

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."* Risk-based target levels of capability will meet that requirement. The intent is to establish capability baselines for operational missions and track resource allocation against them.

It is impossible to maintain the highest level of preparedness for all possibilities all of the time. Managing the risk posed by major events is imperative. Risk-based target levels of capability for major events can be defined through a Capabilities-Based Planning process. Capabilities-Based Planning is defined as planning, under uncertainty, to provide capabilities suitable for a wide range of threats and hazards while working within an economic framework that necessitates prioritization and choice. Capabilities-Based Planning is all-hazards planning. 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 (see Figure 2).

Figure 2: Capabilities-Based Planning: Defining Readiness Targets



2.1 Planning Tools

The National Preparedness Goal is the product of a standard Capabilities-Based Planning process and enables Federal, State, local, and tribal entities to prioritize needs, update preparedness strategies, allocate resources, and deliver preparedness programs. The Goal utilizes and references standard planning tools, including the National Planning Scenarios, Universal Task List (UTL), and Target Capabilities List (TCL). Together, these tools provide a consistent way for entities across the Nation to work together to achieve the National Preparedness Goal.

2.2 Scenarios

While much preparedness applies across the all-hazards spectrum, the National Strategy 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 National Planning Scenarios to illustrate the potential scope, magnitude, and complexity of a plausible range of major events, including terrorist attacks, major disasters, and other emergencies. The scenarios are not intended to be exhaustive or predictive; rather, they are meant to illustrate a broad range of potential terrorist attacks, major disasters, and other emergencies and their related impacts. These scenarios were selected since they generally require capabilities for which the Nation is currently the least prepared. Scenarios

provide the foundation for a risk-based approach to minimize the impact on lives, property, and the economy.

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, but Federal evaluations of these scenario results will incorporate the Target Capability measures and metrics. DHS will maintain a National Planning Scenario portfolio and update it periodically based on changes in the homeland security strategic environment. Summaries are available on the ODP Secure Portal (<https://odp.esportals.com>) and the Lessons Learned Information Sharing system (<http://www.llis.gov>).

2.3 Tasks

The Universal Task List (UTL) provides a menu of tasks from all sources that may be performed in major events such as those illustrated by the National Planning Scenarios. Identifying a menu of tasks is the first step toward identifying dependencies and critical tasks among disciplines, entities, and levels of government. Critical tasks are defined as those prevention, protection, response, and recovery tasks that require coordination among an appropriate combination of Federal, State, local, tribal, private sector, and non-governmental entities during a major event in order to minimize the impact on lives, property, and the economy. Critical tasks, with associated conditions and performance standards, will provide the foundation for developing target levels of capability. Most importantly, they will serve as the source for learning objectives used in the design, development, conduct and evaluation of training and exercise events.

Over time, the UTL will include a list of conditions derived from the National Planning Scenarios and other sources that affect the way to perform the tasks. Conditions are variables of the operating environment, such as the terrain, weather, presence of an adversary, and complexity of multi-agency relationships. The UTL will also include performance measures and criteria associated with each task. The measures and criteria can be used to help define performance standards. Performance standards, when linked to conditions, provide a basis for evaluating how well tasks are performed in operations, training, and exercises.

Entities at all levels of government should use the UTL as a reference to help them develop proficiency through training and exercises to perform their assigned missions and tasks in major events. The UTL is being developed with Federal, State, local, tribal, private sector, and non-governmental subject-matter experts, drawing on existing sources wherever possible. The current version is available on the ODP Secure Portal (<https://odp.esportals.com>) and the Lessons Learned Information Sharing system (<http://www.llis.gov>).

2.4 Capabilities

As the heart of the Goal, 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. Every entity will not be expected to develop and maintain every capability to the same level. The specific capabilities and levels of capability will vary based upon the risk and needs of different types of entities; for example, basic capabilities and levels may be expected of individual jurisdictions and more advanced capabilities and levels may be expected of groups of jurisdictions or States or the Federal government. The TCL currently identifies 36 capabilities (see Figure 3).

Figure 3: Capabilities

1. Animal Health Emergency Support	19. Isolation and Quarantine
2. CBRNE Detection	20. Mass Care (Sheltering, Feeding, and Related Services)
3. Citizen Preparedness and Participation	21. Mass Prophylaxis
4. Citizen Protection: Evacuation and/or In-Place Protection	22. Medical Supplies Management and Distribution
5. Critical Infrastructure Protection	23. Medical Surge
6. Critical Resource Logistics and Distribution	24. On-Site Incident Management
7. Economic and Community Recovery	25. Planning
8. Emergency Operations Center Management	26. Public Health Epidemiological Investigation and Laboratory Testing
9. Emergency Public Information and Warning	27. Public Safety and Security Response
10. Environmental Health and Vector Control	28. Restoration of Lifelines
11. Explosive Device Response Operations	29. Risk Analysis
12. Fatality Management	30. Search and Rescue
13. Firefighting Operations/Support	31. Structural Damage Assessment and Mitigation
14. Food and Agriculture Safety and Defense	32. Terrorism Investigation and Intervention
15. Information Collection and Threat Recognition	33. Triage and Pre-Hospital Treatment
16. Information Sharing and Collaboration	34. Volunteer Management and Donations
17. Intelligence Fusion and Analysis	35. WMD/Hazardous Materials Response and Decontamination
18. Interoperable Communications	36. Worker Health and Safety

Each capability in the TCL is documented in a template that includes a statement of the *outcome* resulting from the performance of one or more critical tasks to specific performance standards that may vary for specific operating conditions (e.g., a six minute response time in clear weather versus a thirty minute response time in a blizzard). A capability may be delivered during an emergency with any combination of elements that achieves the required outcome, namely properly planned, organized, equipped, trained, and exercised personnel (see Figure 4).

Figure 4: 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	

Each capability in the TCL identifies *capability measures* to assess whether the capacity is in place to perform the critical tasks associated with the capability. Finally, it includes *performance measures*, both qualitative and quantitative, to assess the demonstration of the capability through performance of the critical tasks during operations, training, and exercises.

Over time, these measures will be refined to serve as decision support tools to enable Federal, State, local, and tribal entities to assess progress toward achieving the Goal's risk-based target levels of capability. While many capabilities are common to most, if not all, scenarios, conditions and performance standards for a capability can vary significantly across scenarios. Full capabilities may take years to develop and maintain. National preparedness requires every entity to do their part to develop and maintain the appropriate capabilities and levels of capability that the Nation may need to draw upon in time of emergency.

DHS will work with Federal, State, local, tribal, private sector, and non-governmental subject-matter experts to update the TCL for reissuance on October 1, 2005. The updated TCL will define levels of capability that will enable the Nation to minimize the impact on lives, property, and the economy for *all* scenarios.

In assigning levels of capability to entities, DHS and its partners will determine how to:

- *Apportion responsibility to develop and maintain capabilities among levels of government.* Responsibility to develop and maintain levels of capability will be apportioned among Federal, State, local, and tribal governments based on their statutory authorities, roles, and responsibilities. In apportioning requirements, consideration will be given to factors such as the nature of the specific event, required response time, cost to acquire and maintain,

projected frequency of use, degree of specialization, and need for lead time for research and development.

Part of the Federal role will include providing Federal preparedness assistance in appropriate circumstances to facilitate preparedness efforts of State, local and tribal governments. HSPD-8 states 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.”* HSPD-8 also states that *“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 (NRP), other appropriate operational documents, and applicable authorities or guidance. Relevant Federal regulatory requirements should be consistent with the National Preparedness Goal.”*

- *Apportion responsibility among groups of jurisdictions.* The TCL is not one size fits all. Both the risk and the resource base vary considerably among jurisdictions across the United States. Therefore, the TCL will be organized by Tiers. Tiers are groupings of jurisdictions. Their primary purpose is to account for reasonable differences in target levels of capability (or system-specific elements of capability) among groups of jurisdictions based on differences in risk factors such as total population, population density, and critical infrastructure. The secondary purpose is to strengthen mutual aid among neighboring jurisdictions. State, local, and tribal officials will be able to group jurisdictions as they deem appropriate. Groups of jurisdictions will be assigned to standard Tiers that best match their group scores on the risk factors. Interstate groups (such as the National Capital Region) will be encouraged where appropriate.

As part of Goal implementation and development of homeland security strategies, entities at all levels of government should use the TCL as a reference to help them identify and address gaps in capabilities. The TCL is being developed with Federal, State, and local subject-matter experts and draws on existing sources wherever possible. The current version is available on the ODP Secure Portal (<https://odp.esportals.com>) and the Lessons Learned Information Sharing system (<http://www.llis.gov>).

3.0 NATIONAL PRIORITIES

National Priorities meet the requirement in HSPD-8 to establish *“measurable readiness priorities ... 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.”* The Nation cannot immediately achieve all of the target capabilities identified for the National Preparedness Goal. Federal, State, local, and tribal entities must continue to fulfill their ongoing operational missions for homeland security even as they prepare for potential major events. Accordingly, the Goal provides National Priorities to guide the Nation’s preparedness efforts to meet the most urgent needs.

DHS established the National Priorities in consultation with homeland security stakeholders, based on review of national strategies, HSPDs, and State and Urban Area Homeland Security Strategies. 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. These National Priorities will be updated or refined over time, based on progress towards achieving the National Preparedness Goal and changes in the strategic homeland security environment. Information on how to implement the National Priorities is provided in the companion National Preparedness Guidance.

The National Priorities are:

Overarching Priorities

- **Implement the National Incident Management System and National Response Plan.**
- **Expanded Regional Collaboration.**
- **Implement the Interim National Infrastructure Protection Plan.**

Capability-Specific Priorities

- **Strengthen Information Sharing and Collaboration capabilities.**
- **Strengthen Interoperable Communications capabilities.**
- **Strengthen CBRNE Detection, Response, and Decontamination capabilities.**
- **Strengthen Medical Surge and Mass Prophylaxis capabilities.**

3.1 Overarching Priorities

3.1.1 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 coordinated development of capabilities.

Discussion: HSPD-5, “*Management of Domestic Incidents*,” mandated the creation of the National Incident Management System (NIMS) and National Response Plan (NRP). The NIMS provides a consistent framework for entities at all jurisdictional levels to work together to manage domestic incidents, regardless of cause, size, or complexity. To promote interoperability and compatibility among Federal, State, local, and tribal capabilities, 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 of NIMS. 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 nongovernmental entities.*” The National Preparedness Goal enables entities across the Nation to more easily

pinpoint capabilities that need improvement and develop and maintain capabilities at levels needed to manage major events using the NRP and NIMS.

3.1.2 Expanded Regional Collaboration

National Priority: Expand regional collaboration through mutual aid agreements and assistance compacts in order to meet the target levels of capability in the most effective and expedient manner.

Discussion: A key tenet of the National Preparedness Goal is regional collaboration. Major events, especially terrorism, will invariably have regional impact, and prevention, protection, response and recovery missions will require extensive regional collaboration. Our homeland security fundamentally depends upon our commitment to secure those geographic areas that are at greatest risk. It is vital to increase efforts by State, local, and tribal entities to communicate and coordinate with one another and with private sector and non-governmental entities and the general public, particularly for those entities that are in close proximity to each other. Successful regional approaches allow regions to coordinate planning and protection, spread costs, and share risk, thereby increasing the return on investment.

As used in this document, “*region*” generally refers to a geographic area consisting of contiguous State, local, and tribal entities located in whole or in part within a designated planning radius of a core high threat urban area. The precise boundaries of a region are self-defined. This priority focuses on expanding mutual aid and assistance compacts among these contiguous State, local, and tribal entities, and their private and non-governmental partners. The intent is to maximize coverage of the U.S. population and the Nation’s high priority critical infrastructure. These areas should provide reasonable planning boundaries for the potential effects such as those identified in the National Planning Scenarios.

3.1.3 Implement the Interim National Infrastructure Protection Plan

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

Discussion: HSPD-7, “*Critical Infrastructure Identification, Prioritization, and Protection*,” directed DHS to identify, prioritize, and coordinate the protection of critical infrastructure and key resources with an emphasis on critical infrastructure and key resources that could be exploited to cause catastrophic health effects or mass casualties comparable to those from the use of a weapon of mass destruction. HSPD-7 requires the Secretary of Homeland Security to produce a comprehensive, integrated National Infrastructure Protection Plan (NIPP) to outline national goals, objectives, milestones, and key initiatives for critical infrastructure protection.

The Interim NIPP was issued in February 2005. The Interim NIPP defines critical infrastructure to include the following thirteen sectors: agriculture and food; public health and healthcare; drinking water and waste water treatment systems; energy (including the production, refining, storage, and distribution of oil and gas, and electric power except for commercial nuclear facilities); banking and finance; national monuments and icons; defense industrial base;

information technology; telecommunications; chemical; transportation systems (including mass transit, aviation, maritime, ground/surface, and rail and pipeline systems); emergency services; and postal and shipping. The Interim NIPP defines key resources to include dams, government facilities, commercial facilities, and nuclear reactors, material, and waste. In addition, in its role as overall cross-sector coordinator, DHS will also evaluate the need for and coordinate the coverage of additional critical infrastructure and key resources categories over time, as appropriate.

The Interim NIPP states: *“Protection of critical infrastructure requires knowledge of terrorist tactics and targets, combined with a comprehensive understanding of vulnerabilities and the protective measures that can effectively eliminate or mitigate those vulnerabilities. However, even with all of the resources of the United States, it is not possible to protect all assets against every possible type of terrorist attack. The Nation’s critical infrastructure protection program must prioritize protection across sectors, so that resources are applied where they offer the most benefit for reducing vulnerability, deterring threats, and minimizing consequences of attacks. This is an effort that requires the integrated, coordinated support of Federal departments and agencies; State, local, and tribal entities; and public and private sector asset owners and operators. The Interim NIPP is based upon a risk management framework that takes into account threats, vulnerabilities, and consequences when prioritizing protection activities. It provides an integrated, comprehensive approach to addressing physical, cyber, and human threats and vulnerabilities to address the full range of risks to the Nation. The Interim NIPP is the Base Plan that provides the framework and sets the direction for implementing this coordinated, national effort. It provides a roadmap for identifying assets, assessing vulnerabilities, prioritizing assets, and implementing protection measures in each infrastructure sector. For each sector, the NIPP will delineate roles and responsibilities among Federal, State, local, tribal, and private sector stakeholders in carrying out these activities, with DHS as the lead agency and single point of accountability and coordination.”*

3.2 Capability-Specific Priorities

3.2.1 Strengthen Information Sharing and Collaboration Capabilities

National Priority: Strengthen information sharing and collaboration capabilities to enable effective prevention, protection, response, and recovery activities.

Discussion: This national priority focuses on the Information Sharing and Collaboration capability from the TCL. Effective terrorism prevention, protection, response, and recovery efforts depend on timely and accurate information about the identity of the enemy, where they operate, how they are supported, the targets the enemy intends to attack, and the method of attack they intend to use. This information should serve as a guide for efforts to:

- Rapidly identify both immediate and long term as well as emerging threats;
- Identify persons involved in terrorism-related activities; and
- Guide the implementation of information-driven and risk-based prevention, response and continuity planning efforts.

Terrorism-related intelligence is derived by collecting, blending, analyzing, and evaluating relevant information from a broad array of sources on a continual basis. Successful homeland security efforts require that Federal, State, local, tribal and private sector entities have an effective Information Sharing and Collaboration capability to ensure they can seamlessly collect, analyze, disseminate and use information regarding threats, vulnerabilities, and consequences in support of prevention, response and continuity efforts.

The President and Congress have directed that an Information Sharing Environment be created in the next two years to facilitate information sharing and collaboration activities within the Federal government (horizontally) and between Federal, State, local, tribal, and private sector entities (vertically).

3.2.2 Strengthen Interoperable Communications Capabilities

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

Discussion: This national priority focuses on the Interoperable Communications capability from the TCL. Interoperable communications is the capability to provide uninterrupted flow of critical information among multi-disciplinary and multi-jurisdictional agencies at all levels of government. Communications interoperability underpins the ability of Federal, State, local, and tribal entities to work together effectively to prevent, protect against, respond to and recover from terrorist attacks, major disasters, and other emergencies. 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, illustrate persistent shortfalls in achieving communications interoperability. Specifically, State and local authorities continue to emphasize the need for statewide interoperable communications plans, a national architecture that identifies communications requirements and technical standards, and a national database of interoperable communications frequencies. Achieving interoperable communications and creating effective mechanisms for sharing information are long term enterprises that will require Federal leadership and collaborative, interdisciplinary, and intergovernmental planning.

3.2.3 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 the following capabilities from the TCL: CBRNE Detection, Explosive Device Response Operations, and WMD/Hazardous Materials Response and Decontamination. Since the potential number of terrorist targets is large and the threats and means of delivery varied, the Nation must develop a layered defense against WMD, from deployment of systems that ensure early detection of the presence, import, transport, or manufacture of CBRNE materials to capabilities for successful CBRNE response and decontamination.

An effective detection infrastructure must deploy appropriate and uniform detection and measurement systems that are low-cost, robust, highly sensitive and specific, and extremely reliable. These defenses must include systems for both rapid detection and rapid authentication and verification of the identity and quantity of CBRNE materials. By their nature, these materials differ in detection and characterization methodologies. While significant investments and advances in detection have been made, this priority challenges the state of the art. But incremental progress, such as deployment of well-designed systems to selected points to detect materials before use, or to rapidly detect and characterize an attack, will be a powerful component of the layered homeland security system. Implementing this national priority will require analysis of current capabilities, development of concepts of operations, and determination of how the technologies and systems will be integrated and synchronized in a national “system of systems.” The detection architecture and concept of operations will address who will receive, employ, and support the detection technologies and measurement systems, and development of operational procedures and training and support requirements. Interoperability will be addressed through assessment of key interfaces and development and adoption of prescribed standards for equipment, training and operations. Intelligence, information sharing, and spectrum supportability requirements will be addressed to ensure continuous awareness, timely and effective action, reach back capabilities, and effective use of information generated by and for these systems.

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. The response to a CBRNE attack may last from minutes to days, depending on the nature of the weapon and the severity of the attack. Coordination among appropriate Federal, State, local, and tribal entities in pre-event planning and development of interagency response protocols in advance of deployment of detection technology is critical. Specialized CBRNE response teams must possess the capability to detect, locate, identify, and assess potential damage, as well as isolate and disarm a weapon. Additional response capabilities are required post- release or detonation – the period in which people are in most danger.

Decontamination issues such as sampling methodology, cleanup protocols, processes and techniques need to be addressed prior to a CBRNE attack. The capability to rapidly decontaminate large numbers of affected persons may be critical in preventing injury or death. These capabilities must be assembled to both augment normal operational resources and support multi-jurisdiction events. Following an incident, decontamination of victims will largely be the responsibility of first responders, since most affected persons will have either fled the scene or been decontaminated by the time State or Federal responders arrive. The Federal government can and should take a leadership role in the development of procedures, protocols, and recommended equipment purchases for mass decontamination of the public. While some research has been done on the development of more effective techniques for rapid mass decontamination of affected persons than those currently available, more needs to be done to encourage both research and the purchase of needed equipment at the local level.

This national priority leverages efforts throughout government to develop robust capabilities to detect, neutralize, contain, dismantle, and dispose of CBRNE materials, and decontaminate

exposed personnel and property. Public health and medical aspects of CBRNE detection, response, and decontamination are addressed in other capabilities in the TCL.

3.2.4 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: 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.

In order to prepare public health and healthcare entities for potential and actual mass casualty incidents, many elements of preparedness must be addressed. The TCL identifies eight health and medical capabilities: Fatality Management, Isolation and Quarantine, Mass Prophylaxis, Medical Supplies Management and Distribution, Medical Surge, Public Health Epidemiological Investigation and Laboratory Testing, Triage and Pre-Hospital Treatment, and Worker Health and Safety. (An additional 16 capabilities have public health responsibilities embedded within their associated critical tasks or capability elements).

Medical Surge and Mass Prophylaxis are the first lines of response to bioterrorism and other public health emergencies. Medical Surge is highlighted 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, working collectively, must be able 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 capability requires public health departments to organize and direct a mass prophylaxis campaign – should such be needed to prevent mortality and morbidity in the face of a potential or actual mass casualty incident. Emergency-ready public health departments must be able to achieve this within an extremely short timeframe. Two infections highlight a range of public health considerations. Smallpox is an example of a communicable disease that is managed by controlling patient movement and instituting vaccinations. It has an incubation period measured in days and is not responsive to specific therapy. On the other hand, anthrax is not spread from person to person, and it has a short incubation period with a high degree of mortality once symptoms begin. If prophylactic antibiotics are begun quickly after exposure, development of clinical disease can effectively be curtailed. Both smallpox and anthrax would require massive administration of vaccinations or antibiotics.

4.0 OTHER ELEMENTS THAT SUPPORT THE GOAL

HSPD-8 states that to the extent permitted by law, requirements in existing Federal programs will support and be consistent with the National Preparedness Goal, including statewide strategies, first responder preparedness assistance, first responder equipment standards and research and development efforts, a national training program, the national exercise program, Federal performance measurements, relevant Federal regulatory requirements, and maintenance of specialized Federal assets. Many requirements in existing Federal programs are already consistent with the Goal, and will simply be implemented in closer coordination with other affected Federal programs. In addition, HSPD-8 acknowledges that the ability of Federal departments and agencies to perform their statutory responsibilities must be strengthened and not impeded by their support of the Goal. The intent of National Preparedness Goal is to achieve the preparedness vision of developing interconnected and complementary homeland security systems on a national scale. The Goal will be implemented through standards for preparedness assessments and strategies, a system for assessing the Nation's overall level of preparedness, and annual status reports. These elements are described in National Preparedness Guidance.

4.1 Standards for Preparedness Assessments and Strategies

HSPD-8 states that the Goal will include *“elements that support the national preparedness goal including standards for preparedness assessments and strategies.”*

Standards for preparedness assessments will enable entities across the Nation to answer the fundamental question: *“How prepared are we?”* HSPD-8 requires the development of standards and metrics to assess capability, performance, and overall preparedness of a jurisdiction or group of jurisdictions. Governmental and nongovernmental standards-making bodies are adapting or developing nationally accepted standards and metrics for incorporation in the UTL, TCL, and a national assessment system. Standards and metrics are being developed or modified in collaboration with appropriate stakeholders to measure outcomes (i.e., availability, efficiency, and effectiveness) and ensure that all elements of capability (e.g., personnel, planning, organization and leadership, equipment, training, and exercises, evaluations, and corrective actions) are considered. Standards and metrics will be clear, reliable, actionable, and simple to collect and analyze. The NIMS Integration Center and DHS Science and Technology Directorate are key partners in coordinating this national effort. Further information regarding standards and metrics can be found in the Goal's companion National Preparedness Guidance.

HSPD-8 states that statewide strategies should support and be consistent with the National Preparedness 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. In fiscal year (FY) 2006, States and Urban Areas will be required to update their preparedness strategies to be consistent with the National Priorities and attendant capabilities from the TCL (see Section 3.0). Additional information about these updates is provided in the companion National Preparedness Guidance. Future changes will be provided through grant guidance, information bulletins, and other forums.

4.2 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.*” First efforts will be directed at gathering data on target capabilities using existing data and assessment procedures. Current assessments, surveys and data calls requested of Federal, State, local, tribal, nongovernmental and private sector entities and the general public will ultimately be consolidated, revised or realigned to create a national assessment and reporting system that supports the objectives of the Goal. The system will provide the standard processes and planning tools for existing Federal preparedness programs to assess and report national readiness. The system will include the means to assess:

- **Compliance** with the National Preparedness Goal and National Preparedness Guidance, to achieve a consistent national approach to national preparedness.
- **Capability** as defined in the TCL, to prioritize needs, update preparedness strategies, allocate resources, and deliver preparedness programs that help entities to build capability.
- **Performance** as defined in the UTL, Homeland Security Exercise Evaluation Program (HSEEP) guidance, and other sources, to evaluate operations, training and exercises, identify lessons learned, share best practices, and update improvement plans.

Data will be collected through new or existing tools for self-assessment, peer-assessment, compliance monitoring, and independent evaluation, and compiled into overall assessments. Senior officials at each level of government are ultimately accountable to their citizens for assessing preparedness for their respective jurisdictions. They are best positioned to understand that assessment data may not be all-encompassing and that other factors weigh into the preparedness equation. They will retain the authority, responsibility, and discretion to provide additional evidence or information to the overall assessment for their respective entity. This preserves and respects the flexibility of Federal, State, local, and tribal authorities, who are most familiar with and have the best insight into their homeland security needs, while ensuring accountability for everyone's role in national preparedness.

4.3 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.*”

Reporting on the status of national readiness entails synthesizing a high volume and many different types of data:

- Data on State capabilities and utilization of mutual aid will be collected from the assessment system required in HSPD-8, the DHS Homeland Security Grant Program, grant programs of

other Federal departments and agencies, such as the Department of Health and Human Services (HHS), and other sources. 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. A comprehensive update of State Homeland Security Assessments and Strategies under the DHS Homeland Security Grant Program using the standard planning tools for the National Preparedness Goal (National Planning Scenarios, UTL, and TCL), is tentatively planned to begin in FY 2006 (pending funding); full results would be available for the annual report to the President in FY 2008.

- Data on the readiness of Federal civil response assets will be collected from the Federal response capability inventory required in HSPD-8 (to be completed in FY 2005).
- 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.

5.0 CONCLUSION

Preparedness is a shared national responsibility. We live in a world transformed by the attacks on September 11, 2001. The 9/11 Commission wrote that “a *rededication to preparedness is perhaps the best way to honor the memories of those we lost that day.*” We must manage risk by developing capabilities that are suitable for a wide range of threats and hazards while working within an economic framework that necessitates prioritization and choice. The National Preparedness Goal engages Federal, State, local, and tribal entities, their private and non-governmental partners, and the general public in a continuous cycle of activity to achieve and sustain risk-based target levels of capability to prevent, protect against, respond to, and recover from major events that require a coordinated national effort in order to minimize the impact on lives, property, and the economy. Our dedication to achieving the Goal is as critical to our Nation’s security and freedom as those many moments in our Nation’s history when Americans did more than they were asked and left our great country stronger and shining its beacon more brightly. One Goal, one Nation.

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 accomplish one or more tasks under specific conditions and to specific 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 Task. Critical tasks are defined as those prevention, protection, response, and recovery tasks that require coordination among an appropriate combination of Federal, State, local, tribal, private sector, and non-governmental entities during a major event in order to minimize the impact on lives, property, and the economy.

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)

Emergency Response Provider. Includes Federal, State, local, and tribal emergency public safety, law enforcement, emergency response, emergency medical (including hospital emergency facilities), and related personnel, agencies, and authorities. (See section 2(6), Homeland Security Act of 2002, Public Law 107-296, 116 Stat. 2135 (2002).) Also known as Emergency Responder. (Source—NIMS, March 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 nongovernmental 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 nongovernmental 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, nongovernmental, 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)

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)

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

Performance goal. A statement of the intended result, effect, or consequence to be achieved by carrying out a program or activity.

Performance measure. A quantitative or qualitative characteristic used to gauge the results of an outcome compared to its intended purpose (e.g. percentage, time, or amount).

Performance metric. A particular value or characteristic used to measure the outcome (e.g., “100,” “25,” or “partially”) that is generally expressed in terms of a baseline and a target.

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 nongovernmental 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)

Recovery. The development, coordination, and execution of service- and site-restoration plans, the reconstitution of government operations and services; individual, private-sector, nongovernmental, 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)

Region. As used in this document, “region” generally refers to a geographic area consisting of contiguous State, local, and tribal entities located in whole or in part within a designated planning radius of a core high threat urban area. The precise boundaries of a region are self-defined.

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, consequence, 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)

System. A combination of facilities, equipment, personnel, procedures, and communications integrated into a common organizational structure to achieve a mission or outcome.

Target Capabilities List. Provides guidance on the specific capabilities and levels of capability that Federal, State, local, and tribal entities will be expected to develop and maintain.

Tier. Groupings of jurisdictions that account for reasonable differences in expected capability levels among entities based on assessments of total population, population density, critical infrastructure, and other significant risk factors.

Universal Task List. A menu of tasks from all sources that may be performed in major events such as those illustrated by the National Planning Scenarios. Entities at all levels of government should use the UTL as a reference to help them develop proficiency through training and exercises to perform their assigned missions and tasks in major events.

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 (See, for example, 16 U.S.C. 742f(c) and 29 CFR 553.101.) (Source—NIMS, March 2004)

APPENDIX B—ACRONYMS AND ABBREVIATIONS

CBRNE	Chemical, Biological, Radiological, Nuclear, and Explosive
DHS	Department of Homeland Security
FY	Fiscal Year
HHS	Department of Health and Human Services
HSC	Homeland Security Council
HSEEP	Homeland Security Exercise and Evaluation Program
HSPD	Homeland Security Presidential Directive
NIMS	National Incident Management System
NIPP	National Infrastructure Protection Plan
NRP	National Response Plan
ODP	Office for Domestic Preparedness
SLGCP	Office of State and Local Government Coordination and Preparedness (DHS)
TCL	Target Capabilities List
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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