

Department of Homeland Security

Homeland Security Presidential Directive/HSPD-8
“National Preparedness”

Implementation Concept



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and the Headquarters Operational Integration Staff (I-STAFF)
Department of Homeland Security**

On March 26, 2004, Secretary Ridge approved the general concept described in this paper and authorized ODP and the I-STAFF to begin the implementation process, in coordination with other partners.

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

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HSPD-8 IMPLEMENTATION CONCEPT

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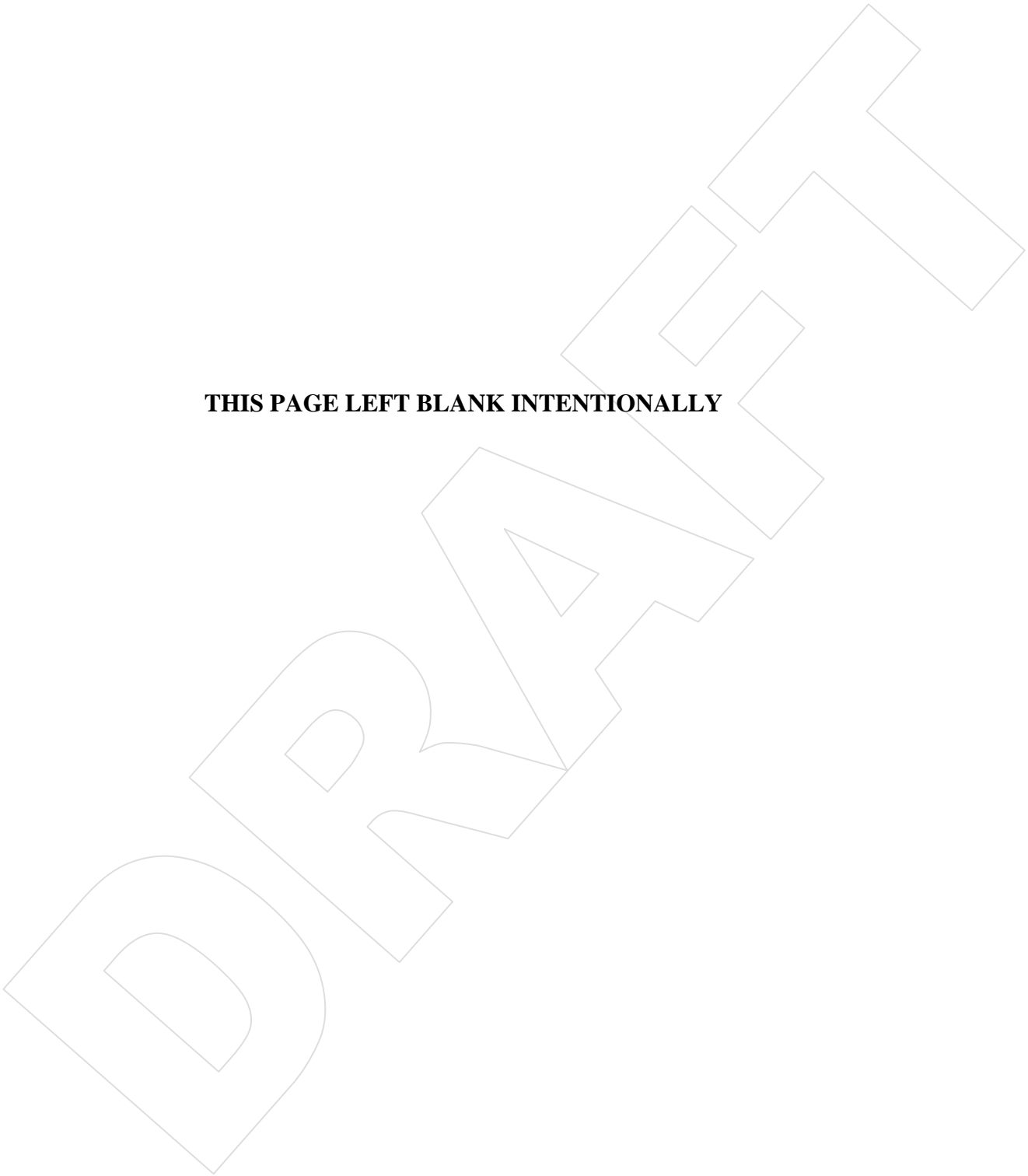
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EXECUTIVE SUMMARY

Homeland Security Presidential Directive 8/HSPD-8 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 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. This paper describes a concept for rapid and systematic implementation of the provisions of HSPD-8 to improve preparedness doctrine and practice and reorient preparedness programs and activities that converged within homeland security under a unified national all-hazards preparedness strategy.

While current preparedness processes have produced significant capacity, they can be more effectively organized to meet current and future challenges. The imperative to rapidly establish operational capacity forced the convergence of a broad array of preparedness programs under homeland security. Without a unified strategic direction, legacy inefficiencies and desynchronized approaches will continue. The homeland security community is highly differentiated, with a wide range of missions against both adaptive and non-adaptive threats and hazards. Finally, our environment is resource constrained, and the costs of terrorism prevention and disaster relief are ever on the rise. We can do more to optimize our investments. We must examine and improve our processes for determining needs, identifying options, making decisions, and providing capabilities to support homeland security missions. This requires streamlined processes and alternative organizations to better integrate capabilities in support of national objectives.

Uncertainty is the cardinal attribute of homeland security threats and hazards. We cannot definitively predict where or when our terrorist adversaries will strike, or when the next natural disaster or manmade accident will occur. We must mitigate this uncertainty by developing capabilities that are agile, flexible and robust in order to meet the wide range of homeland security challenges. This implementation concept involves a shift from a threat-based to a capabilities-based planning approach, in order to take the all-hazards approach to the next level.

The recommendations proposed in this concept are substantial, and will require the support of top management at all levels of government. A Senior Steering Committee is therefore critical to provide executive-level input and “top down” guidance to keep initiatives on track. To be effective, the Committee Chair must have access to the Secretary and Deputy Secretary of Homeland Security, and Committee members must have equivalent access to the heads of their respective organizations. The Committee and support staff will need to establish an interagency and intergovernmental process to drive implementation. This process must clearly spell out what needs to be done, who needs to do it, and when it needs to be completed. Leadership will need to receive regular progress reviews. The need for change, goals, and progress toward meeting the goals must be effectively communicated.

The opportunity for change is at hand – the Department has successfully transformed twenty-two disparate entities into a homeland security mission-oriented team, has just passed its first anniversary, and is rapidly implementing strategic management systems. Now the Department must lead the homeland security community in reorienting how it develops, resources, and provides the capabilities necessary to build a better prepared America.



INTRODUCTION

Homeland security encompasses preparedness¹ for all hazards of national significance, both natural and manmade. Our national homeland security systems are pitted every day in a competitive learning contest against sophisticated and adaptive terrorist adversaries. This requires a unified national all-hazards preparedness² strategy that delivers flexible, adaptive, and robust capabilities³ so that our homeland security systems can cope with diverse circumstances, influences and conditions.

Americans are safer today than they were on September 11, 2001. We have reorganized and focused homeland security into a priority mission at the local, State, Federal, and national level. We have strengthened airline security, increased vigilance at our borders and ports, forged unprecedented partnerships across levels of government and with the private sector, improved information sharing, launched robust efforts to engage citizens in preparedness efforts, and distributed funds and resources for our dedicated first responders. There is still more we can and must do. Federal preparedness programs require far greater unification to deliver needed capabilities and to more effectively correlate to threats. They must be reoriented in a framework to build combinations of properly trained, equipped, and tested people, resources and processes -- *systems* -- working in a unified⁴ and coordinated manner to achieve specific desired outputs -- *capabilities* -- under specified conditions and to national standards. To build that framework, we must define a national preparedness goal or set of goals in terms of capabilities and requirements that support decision-making for operations and for budgets. Assuring that individuals and organizations are prepared to execute their assigned missions with speed and effectiveness is a core responsibility of every member of the homeland security community at every level of government and in the private sector. These actions will help the entire homeland security community⁵ to build a better prepared America.

Homeland security strategic planning, programming and resourcing functions are evolving. Homeland security strategy is not yet formulated in a way that provides integrated community-wide objectives, priorities, and roles as a framework for unified capabilities planning and development. Homeland security strategic planning and programming guidance is not yet based upon national objectives and requirements necessary to provide realistic priorities for unified

¹ As defined in HSPD-8 (see Appendix A).

² As defined in HSPD-8 (see Appendix A).

³ A capability is a combination of resources (personnel, equipment, and other elements) that provide a means to achieve an outcome, under specified conditions and to national standards.

⁴ "Unified" refers to efforts that allow all agencies and levels of government with responsibility for a mission to work together by establishing a common set of objectives and strategies. This is done without losing or abdicating authority, responsibility, or accountability. *Adapted from the National Incident Management System.*

⁵ The homeland security community refers to the resources (personnel, equipment and other elements) at all levels of government and in the private sector, working in a unified manner to achieve homeland security missions.

homeland security needs. The result is programs that are not optimized to meet unified needs, or provide the best value for the nation's homeland security investment.

Legacy planning processes dominate even now that homeland security capabilities are inherently unified and support cross-component missions. Individual organizations still define needs, and the legacy organizations develop alternatives, and select and resource the solutions. This approach provides little opportunity to consider cross leveling or efficiencies. Without capabilities-based planning and modern portfolio management techniques, program offices have limited ability to prioritize requirements objectively and to advise elected leaders effectively on return on investment.

Under the majority of legacy processes, States have the primary responsibility for creating needs assessments. The analytical burden for determining how to build capabilities for our foremost national priority -- defense against terrorist attack -- falls predominantly on the States. Needs that are uniquely combined, servicing multiple components of the homeland security community, are difficult to identify and fill when no specific organization has sole responsibility. In some cases, preparedness strategies are treated as unconstrained needs assessments. This has resulted in an annual resource allocation struggle. Legacy Federal program offices are forced to balance needs, with implicit prioritization, and make their own tradeoff judgments. The results do not optimize capabilities at the national, regional, or State level, and are not prioritized. This effort invariably focuses on how money is being spent rather than on determining whether the capabilities purchased support national objectives.

Unified capabilities must form the foundation for preparedness programs and planning must be done as a nationally integrated effort. These capabilities must be developed using a consistent community-wide view of priorities and risks. Key stakeholders must have major input into the formulation of unified national needs. The approach outlined in this concept centers the identification and development of needs at a more strategic level, using strategic objectives to frame the desired outcomes, which in turn identify the needed capabilities, and ultimately what to fund:

- Outcome-oriented needs must be articulated from a community-wide view;
- Processes, methodologies and tools are required to conduct capability analysis at every level in the homeland security community;
- Existing capability gaps, excesses and deficiencies must be identified by characterizing existing capabilities with respect to assigned missions, functions, and tasks;
- Future capability gaps, excesses and deficiencies must be identified by characterizing future capabilities with respect to operating concepts and projected missions and tasks;
- Options to fill gaps in existing and future capabilities must be assessed;
- Remedy of gaps and deficiencies must be prioritized;

- The impact on capabilities from strategic planning guidance, lessons learned, experimentation, technical opportunities, study recommendations, operating concepts, and emerging threats or hazards must be assessed;
- Decisions regarding major tradeoffs, priorities and risk tolerance must be presented in a meaningful way for senior leadership;
- An audit trail of decisions and associated rationale must be maintained; and
- Decisions, where appropriate, must be translated into programming, planning and budgeting guidance.

HSPD-8 outlines actions to strengthen and measure homeland security capabilities (see Appendix A). This proposed implementation concept will provide the methodology necessary to build and assess *required, measurable, and demonstrable* capabilities. It will strengthen sound business practices in the management of programs and activities. It will validate Federal, State, local and collective national determinations of both preparedness and risk. Finally, it will enable decision makers to allocate resources to capabilities that are prioritized based upon risk analysis.

The Department of Homeland Security has identified four priority initiatives to reorient preparedness programs:

- Creation of a *unified national preparedness strategy* to build the capabilities required by homeland security strategies, missions and tasks.
- Development of a *capabilities-based national preparedness assessment & reporting system* to conduct continuous subjective assessments of current national preparedness and to obtain a systematic view of future critical capabilities.
- Establishment of a comprehensive *national training and exercise system* that provides performance-based training and exercises to achieve and sustain capabilities.
- *Balancing of the national portfolio of preparedness investments* through tools to inform resource allocation decisions that are linked to required capabilities.

Tasks in HSPD-8 and other strategic documents have been mapped to these initiatives. The complete task breakdown and associated milestones are detailed at Appendix B.

MANAGING HSPD-8 IMPLEMENTATION

Senior Steering Committee

Implementation of HSPD-8 will involve a multitude of participants across all levels of government in an interdependent series of extended activities. To manage these activities, the Department of Homeland Security (DHS), in coordination with the Homeland Security Council (HSC) and appropriate Federal departments and agencies, and in consultation with State and local governments will establish a formally chartered interagency Senior Steering Committee at the executive (Assistant Secretary) level to provide ongoing oversight to HSPD-8 implementation (see Appendix C.) It will provide oversight to the Integrated Concept Teams, and provide policy-level guidance for development of a Unified National Preparedness Strategy and a Preparedness Information Plan.⁶

The recommendations proposed in this concept are substantial, and will require the support of top management at all levels of government. A Senior Steering Committee is therefore critical to provide executive-level input and “top down” guidance to keep initiatives on track. To be effective, the Committee Chair must have access to the Secretary and Deputy Secretary of Homeland Security, and Committee members must have the same access to the heads of their respective organizations. The Committee and supporting staff will need to establish an interagency and intergovernmental process to drive implementation. This process must clearly spell out what needs to be done, who needs to do it, and when it needs to be completed. Leadership will need to receive regular progress reviews. The need for change, goals, and progress toward meeting the goals must be effectively communicated.

The nation expends enormous resources in support of homeland security. Some changes to organizational structures will be needed. Organizational changes could range from alterations within existing organizations to the creation of totally new organizations. The members of the Senior Steering Committee will be authorized to explore organizational structural changes needed to implement the unified preparedness strategy, including the latitude to explore moderate, aggressive, and radical alternatives on how to most efficiently organize our preparedness establishment, and to make recommendations to the DHS leadership team on the means to:

- Articulate priorities and risk tolerance and establish unified capability objectives,
- Identify strategic concepts for planning future capabilities, and
- Ensure that community activities are fully integrated with operational capability development.

⁶ As required in HSPD-8, see Appendix A, paragraph (23).

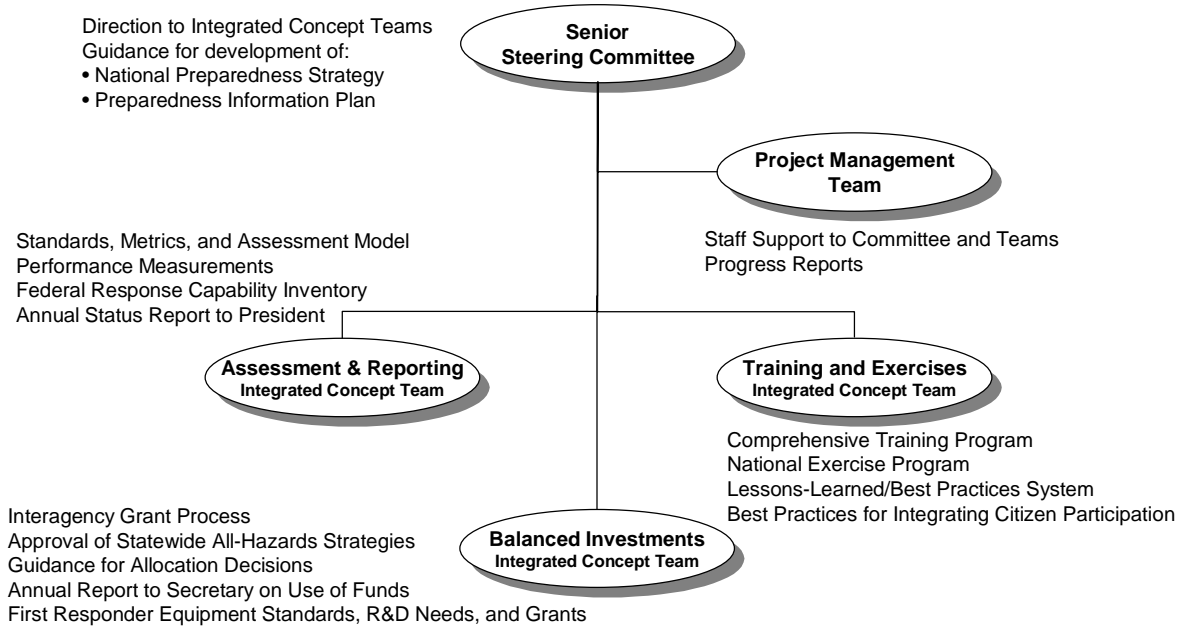
The Committee should also be authorized to commission studies and concept experimentation to identify issues for future consideration in the unified preparedness strategy. It will oversee development of communication strategies with intergovernmental, public and legislative affairs to educate, train, and enable stakeholders to fully embrace the new preparedness approach. Results of concept implementation will be captured in formal documentation. These directives, manuals and instructions will be widely distributed.

Integrated Concept Teams

The Office for Domestic Preparedness (ODP, the DHS-designated HSPD-8 office of primary responsibility) in coordination with the DHS Integration Staff (I-STAFF), will charter limited duration Integrated Concept Teams (ICTs) for the priority initiatives that warrant development of detailed program plans and requirements (see Appendix D). ICTs will include key stakeholders from DHS, other Federal departments and agencies, State and local governments, and the private sector. ICTs are planned for the National Preparedness Assessment and Reporting System, the National Training and Exercise System, and the Balanced Investments Initiative (see Figure 1). ICTs will employ an integrated concept and process project management approach to build a successful and balanced system concept, conduct horizontal and vertical coordination, gain stakeholder consensus, and define resource needs. The ICTs will translate their respective initiatives into a detailed concept (in the form of a program implementation plan and budget estimate) and gain appropriate approvals. Program office(s) identified as having responsibility for executing the initiative will be included on the ICTs.

The steering committee and ICTs will conduct program planning and track actions using a DHS web-based collaborative project management tool (Electronic Program Management Office [ePMO], currently in use by the DHS I-STAFF). Access to ePMO will be provided to all team members. ICTs will be responsible for providing monthly status reports and management updates. Following completion of the program plan and requirements documents, and approval to proceed, the Plan will be transferred by the ICT to a program office (or offices) for execution.

Project Management Structure



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Figure 1 – Project Management Structure

UNIFIED NATIONAL ALL-HAZARDS PREPAREDNESS STRATEGY

Improving preparedness practice and doctrine requires creation of a *unified national all-hazards preparedness strategy*. This strategy will employ a systems-framework targeted at building demonstrable and sustainable capabilities. It will unify preparedness programs and activities of the Federal government, ensure preparedness for all incidents of national significance, and prioritize prevention of and response to threats or acts of terrorism. Generation of capabilities-based requirements will provide a continuously validated baseline for improved delivery of Federal preparedness assistance to State and local governments. Rigorous measurements will enable decision makers to ensure the appropriate balance among resources allocated to strengthen specific *capabilities*; capabilities that are *required* to execute the full range of homeland security missions and *prioritized* based on the potential risk posed by terrorist attacks, major disasters, and other emergencies.

In the context of this strategy, all-hazards preparedness refers to actions to establish and sustain prescribed levels of capability necessary to execute the full range of homeland security missions for all hazards of national significance (“major events” in HSPD-8) as well as an approach that identifies and balances requirements that are common-to-all hazards with those that are unique to a category of hazards (i.e., terrorism) or a specific hazard (i.e., earthquake). When used effectively, the all-hazards approach develops the capacity to cope with the broadest range of scenarios. *All-hazards preparedness is capabilities-based.*

The preparedness strategy has three principal components. Each is identified as an “Interval,” denoting various durations and levels of effort. While many actions will be concurrent, they are depicted sequentially for ease of understanding:

- **Interval 1.** Interval 1 entails alignment of homeland security vision, strategies, missions, tasks, objectives, initiatives and resource allocation at all levels of the homeland security community.
- **Interval 2.** Interval 2 includes scenario-based analysis and capabilities-based planning using standard scenarios for incidents of national significance.
- **Interval 3.** Interval 3 is comprised of evaluations and assessments of demonstrable capabilities to prevent, respond to, and recover from terrorist attacks, major disasters, and other emergencies.

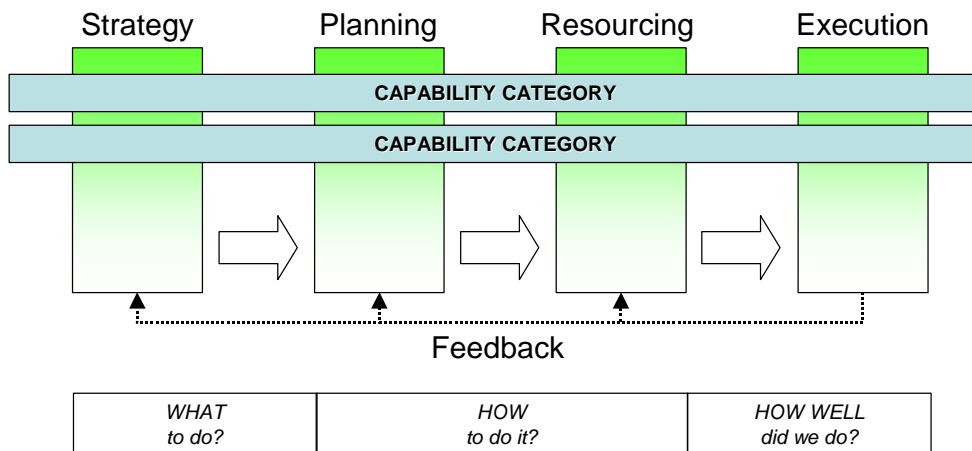
Each interval provides mechanisms for leaders at all levels of government to communicate and collaborate to identify critical deficiencies, develop strategies to correct those deficiencies, track and report on progress toward resolution, and aggregate deficiencies into preparedness and risk determinations and strategic concerns. This will aid resource allocation decisions by enabling leaders to identify the capability gaps, deficiencies, and excesses that threaten system efficiency.

Interval 1 and 2 serve as the means for compliance validation; Interval 3 serves as the means for capability validation.

Interval 1: Strategy and Mission Alignment

Strategic alignment of homeland security vision, strategies, missions, tasks, objectives, initiatives and resource allocation begins with a unified, resource-informed strategy that guides planning, resourcing, and budget execution. The strategy will draw on the law, National Strategies, Presidential Directives, threat, strategic environment, technological advances, current programs and lessons learned to define needs in terms of capabilities, and translate capabilities into program requirements. The first -- *and most important* -- step toward implementation of a unified preparedness strategy is to build a common lexicon that focuses on capabilities at every step in the process to define needs, from strategy development, through planning, resourcing, and execution (see Figure 2).

National Preparedness Goal



Capability categories provide a framework to articulate a capabilities-based approach across strategy development, planning, resourcing, and execution.

Source: Joint Defense Capabilities Study Final Report, December 2003

Figure 2 – National Preparedness Goal

The community has many capabilities; they must be divided into manageable categories.⁷ If the right categories are created, then strategic guidance, capabilities-based analysis and planning, programs and budgets can be organized around them. In general, the national preparedness goal will be defined in terms of a set of goals, objectives, and tasks. Goals will define “mission-level outcomes” which refer to the things that citizens expect from their elected officials and public agencies in addressing a terrorist attack, major disaster, or other emergency. Goals can be broken down into supporting objectives, which will define “function-level outcomes,” and objectives can be broken down into supporting tasks, which will define “task-level outcomes.”⁸ Mission-level capability categories should serve as the framework for every phase of the strategy. A standard list of widely recognized, mission-level categories can be developed that considers and realigns material from appropriate sources.⁹ Missions can be broken down into *functions* and tasks, using current best practices in mission-to-task analysis in the training community, so that capabilities of individuals and organizations can be measured. A standard list of widely recognized functions can be developed from the National Incident Management System,¹⁰ National Response Plan (in development), and other sources. Efforts in several DHS program offices (i.e., ODP, EP&R) to establish universal mission essential task lists will be reoriented to support implementation of the Unified Preparedness Strategy.

The DHS program office responsible for the National Preparedness and Reporting System will lead a review with key stakeholders of existing State, Territory and Urban Area Security Initiative (UASI) city strategies, to assure existing strategies and missions across all levels of government achieve common intent and purpose. The review will use the standard scenarios, mission-level categories, and universal task list described previously, and apply expert assistance

⁷ Joint Defense Capabilities Study, Final Report, December 2003, page 2-7. The Joint Staff defines categories as representing the broad activities or processes that must take place for the Department of Defense to successfully pursue its operational and support missions; i.e., force application, protection, logistics, command and control, battle space awareness, force management, and infrastructure. *Similar categories can be developed for homeland security.*

⁸ Mission, function, and task-level outcomes are described in the Homeland Security Exercise Evaluation Program (HSEEP), Volume II, and can be adapted as appropriate.

⁹ For example, the National Strategy for Homeland Security defines six categories (“critical mission areas”) around which the Federal Budget will be built: Intelligence and Warning, Border and Transportation Security, Domestic Counter terrorism, Protecting Critical Infrastructures and Key Assets, Defending against Catastrophic Threats, and Emergency Preparedness and Response. The DHS Strategic Goals document defines twelve categories (“goals”) for internal management purposes: Policy Making and Management; Day-to-Day Command, Control, and Communications; Management Systems (non-personnel); Personnel System; Security Screening, Investigations and Law Enforcement; Immigration and Citizenship; Preparedness; Incident Management (non-preparedness); Critical Infrastructure Protection; Intelligence Sharing; and Science and Technology. HSEEP Volume II defines eight categories (“mission-level outcomes”): Prevention/Deterrence, Emergency Assessment, Emergency Management, Incident/Hazard Mitigation, Public Protection, Victim Care, Investigation/Apprehension, and Recovery/Remediation.

¹⁰ The National Incident Management System Resource Typing System defines sixteen categories (“functions”) for which resources would be most useful: Transportation, Communications, Public Works and Engineering, Firefighting, Information and Planning, Law Enforcement and Security, Mass Care, Resource Management, Health and Medical, Search and Rescue, Hazardous Materials Response, Food and Water, Energy, Public Information, Animals and Agricultural Issues, and Volunteers and Donations.

to identify priorities, strategic issues, and other concerns. The outcome of the review will be national planning guidance on national, Federal, State and local strategy and mission realignment.

Ultimately, strategic alignment will be institutionalized through national management systems for homeland security strategic planning, operational planning, and planning, programming, and budgeting. The Planning, Programming, and Budgeting System will capture the decisions made throughout the process, which will be conducted in an open and collaborative environment. It will provide fiscally executable guidance for the development of preparedness programs, and *compulsory* guidance on selected unified capability issues. Development of the Planning, Programming, and Budget System and other management systems needs to be informed by the unified national preparedness strategy and national planning guidance.

Interval 2: Analysis and Planning

Over the past two decades, most preparedness programs relied on a threat-based planning construct to develop requirements and apply resources based on a limited number of highly detailed scenarios (“point scenarios”). In addition, many references characterized the terrorist threat as the weapon, not the adversary. Requirements were often developed, validated and approved as solutions to counter specific effects or threats — *not as participating capabilities in a cohesive system*. New programs were developed in isolation, lacked a common frame of reference, and resulted in systems that were not interoperable with other new and/or legacy systems. No explicit linkage existed from a national strategy to required capabilities.

The National Strategy for Homeland Security, Homeland Security Act, and HSPDs direct the use of an “all-hazards” approach. The concept outlined in this paper advocates a fundamental shift away from a traditional threat-based toward a capability-based planning approach. Both approaches use scenarios to bound the threat: the key difference is that “threat-based” planning uses one or very few highly detailed “point” scenarios while capabilities-based planning uses a wide range of plausible scenarios and associated probabilities to reduce fixation on any one particular threat, hazard, or setting.¹¹ This approach to planning is designed to address uncertain conditions, circumstances and influences by identifying and developing capabilities that are critical to cope with a wide range of scenarios and changing situations. *Capabilities-based planning is “all-hazards.”*

Capabilities-based planning provides a modern construct for:

- Identifying capability needs;
- Prioritizing a subset of particularly challenging missions that transcend individual detailed scenarios and require the attention of top leadership;
- Assessing capability *options* for effectiveness in stressful building-block missions;

¹¹ Davis, Paul K., *Analytic Architecture for Capabilities Based Planning, Mission-System Analysis, and Transformation*, The RAND Corporation, 2002.

- Making choices about requirements and ways to achieve them;
- And doing so in an integrative portfolio framework that addresses future homeland security capabilities, risk tradeoffs, and related matters in an economic framework.

Develop Standard Scenarios

Since the terrorist attacks of September 11, 2001, unprecedented attention has been directed to homeland security, but preparedness efforts have suffered from the lack of a common operating picture. A set of agreed-upon scenarios will help focus planning efforts, test alternative strategies, set requirements, and determine priorities. A Federal interagency group convened by the White House Homeland Security Council (HSC) has developed a standardized set of scenarios for threats and hazards of national significance with high credibility, consequence, and probability. They include:

- Four chemical scenarios, including both chemical warfare and toxic industrial chemicals
- Three biological scenarios, including both contagious and non-contagious agents and pandemic influenza
- One radiological and one nuclear scenario
- One improvised explosive device scenario,
- Two agricultural scenarios, including food safety and animal disease,
- Two natural disaster scenarios, a catastrophic earthquake and major hurricane. and
- One cyber attack.

They are designed to be as broadly applicable as possible, to be sufficient to validate national resource priorities and protocols, and assist in exercise design at all levels of government. The standard scenarios will provide a foundation for national preparedness goals, emergency responder capability requirements, and implementation of the National Response Plan. The DHS I-STAFF will be the DHS staff proponent (the office or activity that has primary responsibility) for the scenarios, and will establish procedures for maintenance, use and periodic review of the scenarios. They will be categorized and prioritized relative to national homeland security objectives, and employed according to priority, applicability, and severity in formulating concepts, doctrine, organization, and acquisition objectives and requirements. As the homeland security community develops strategic and operational planning systems, generation and maintenance of the scenarios will be integrated into those management systems and issued through periodic national planning guidance.

Define the National Preparedness Goal: Baseline Capabilities Lists, Tiers, and Metrics

The scenarios will be used to conduct scenario-based analysis to produce 1) a series of Baseline Capabilities Lists (BCL) for the standard scenarios, tailored by *Tier*, and 2) ultimately define the

“national preparedness goal.”¹² A capability is a combination of resources (personnel, equipment, and other elements) that provide a means to achieve an outcome, under specified conditions and to national standards. A BCL is based upon essential capabilities in specific missions that allow (and are critical to) accomplishment of all missions for a scenario, with minimum risk or constraints;¹³ it is not intended to be a complete list of *all* functions and tasks and associated performance standards for *all* missions for a scenario. A Baseline Capabilities List is an indicator of the minimum capability required to *provide a reasonable assurance of success* against a scenario.

A Baseline Capabilities List is not “one size fits all.” Both the risk and the resource base vary considerably among jurisdictions across the United States. HSPD-8 directs Federal departments and agencies to make allocations of Federal preparedness assistance to the States based on assessments of population concentrations, critical infrastructures,¹⁴ and other significant risk factors. Therefore, the Baseline Capabilities Lists will be tailored to different “Tiers” of jurisdictions.¹⁵ Tiers may include single jurisdictions and multi-jurisdiction organizations (potential mutual aid partners). A BCL will be developed for each Tier against each standard scenario.

Baseline Capabilities will form the foundation of the National Preparedness Goal. Progress toward achieving or exceeding the BCL will be expressed through a limited number of critical metrics. Metrics are measurement standards. Metrics are needed to measure the performance and preparedness of an organization, demonstrating specific capabilities within a system framework relative to its homeland security mission, as identified in mission-essential tasks. Metrics will be developed in terms of attributes (e.g., availability, efficiency, effectiveness). Metrics will be selected to ensure that all key aspects of the capability are considered (e.g., organizational, training, equipment, and personnel) in identifying shortfalls and deficiencies. They will have stakeholder relevance, be clearly defined, represent explicit goals, be reliable indicators, have predictive power, provide actionable information, and be simple to collect and analyze. Metrics will be derived from existing standards and/or developed during scenario analysis. This may be an iterative task, since the dependencies among given set of metrics may be situation and context dependent and become more clear during analysis.¹⁶

¹² As defined in HSPD-8, see Appendix A, paragraph (5), (6), and (7).

¹³ Constraints may include such factors as fiscal limitations, affordability issues, manpower shortages, training limitations, or equipment shortfalls.

¹⁴ As discussed in HSPD-7: “Critical Infrastructure Identification, Prioritization, and Protection,” December 2003.

¹⁵ Tiers will be developed using models such as the Costing Methodology to Support State and Local First Responders, May 2002.

¹⁶ Proceedings of the 36th Hawaii International Conference on System Sciences, 2002.

The following table illustrates the *Capability – Attribute – Metric* relationship.

Category: Direction and Control.	
Capability: Conduct unified, distributed direction and control.	
To manage operational components in a unified manner in purpose, place and time in order to maximize the desired outcome and minimize risk.	
Conditions: (Cites specific planning scenario)	
Attributes	Notional Metrics
Shared situational awareness	Degree to which the different models of the situation are integrated into a common operational picture. Degree to which individuals or teams are able to note a change in the environment and its implications (“recognition differential”).
Quantity of shared information	Percent of collected information distributed to consumers
Understandability	Degree to which the information is easy to use and act upon (i.e., low or high degree of ease of use)
Precision	Error and confidence level for information compared to a standard reference.
Timeliness	Degree (speed of effect) to which currency matches what is needed
Examples of related Mission Essential Tasks:¹⁷	
Alert and Mobilize Staff (Task # III-1)	
Activate, Expand, and Operate an Emergency Operations Center (Task #III-2)	
Direct and Control Response Operations (Task#III-3)	
Notify Government Agencies and Officials (Task #III-4)	

Once developed and approved, prioritized scenarios and BCLs will be issued in biennial planning guidance to Federal departments and agencies, States, Territories, and UASI cities.

Identify, Prioritize, and Balance Required Capabilities

The Region, State/Territory or Urban Area will be expected to tailor the standard scenarios to its specific locations and environment. Technical assistance in tailoring the scenarios will be provided through the DHS Region from expertise drawn from within the Region, or from the Federal headquarters office of primary responsibility. While the scenarios may be tailored, the BCLs are the minimum capabilities that are required to successfully carry out core competencies and essential tasks for each capability category against the specified scenario, and will be applied as the national standard.

The preferred process for conducting the scenario-based analytical and planning process is as a *collaborative, region-wide effort*. The process should begin with establishment of a chartered, representative “preparedness organization”¹⁸ to oversee the analytical process and development

¹⁷ Drawn from HSEEP Volume II.

¹⁸ In accordance with the National Incident Management System (NIMS), March 2004.

of preparedness requirements. The first process step should be the conduct of a seminar or series of seminars to introduce the standard scenarios and BCLs and the analytical process.

All required capabilities and expertise will not be organic to the State or jurisdiction; many will be secured through multi-agency coordination (i.e., mutual aid). This provides the rationale for a region-wide approach. Multi-agency, multi-jurisdictional capability assessment teams should be formed at the capability category level to analyze existing capabilities (what can be done now) against the BCL for the specific scenario (the minimum capabilities that are required to successfully carry out all core competencies and essential tasks for each capability category for a given scenario). The goal is to facilitate capabilities analysis and planning, ensuring that the range of homeland security issues are addressed (see Figure 3). A region-wide approach also reinforces adoption of initiatives like the Model Interstate Mutual Aid Legislation developed by the National Emergency Management Association and a partnership of national public safety organizations. Where the standard scenarios pose multi-regional impacts, cross-regional collaboration is encouraged.

Process Model

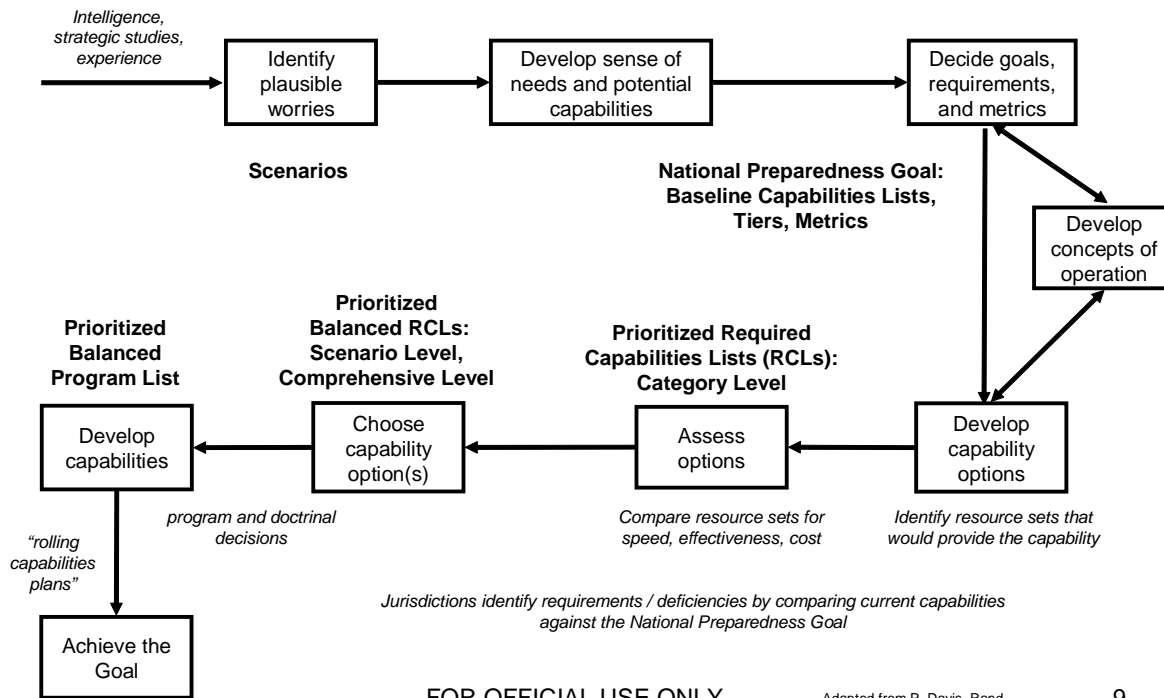


Figure 3 – Process Model

Define Requirements for each Capability Category and Scenario

The goal of the assessment teams is to produce a prioritized Required Capabilities List (RCL), identify capability gaps, excesses, deficiencies, and determine risk for each capability category against the evaluated scenario. The RCL contains those capabilities not on hand (neither organic to members of the preparedness organization nor available through mutual aid) that are required to meet the BCL. Each required capability must demonstrate a direct correlation to the BCL, provide a reasonable assurance of success against the specified scenario, and be fully structured and supported.

At the heart of the unified national preparedness strategy is the need to compare current capabilities with the National Preparedness Goal, which includes the BCLs for each standard scenario, organized by Tier, and metrics. Comparison will reveal “gaps” (implying that tasks or missions cannot be accomplished with current capabilities); “excesses” (unnecessary redundancy exists or a specific capability is no longer needed); and “deficiencies” (a capability exists, but is insufficient to provide a reasonable assurance of success against a specified scenario). A deficiency is identified when a current capability exists, but is deficient to meet the BCL (e.g., a lack of required training or equipment). A deficiency only exists if it cannot be compensated for using other ways or means; will prevent accomplishment of mission essential tasks; will result in a significant decrease in flexibility and thus increase vulnerability under the specified scenario; and/or would require significant compensation. The assessment will include a risk determination using the gap between the BCL and current capabilities and identified deficiencies as the benchmark for a subjective assessment of risk.

Example criteria for rating deficiencies include:

Level 1	No deficiency. Or deficiency can be overcome easily using means currently available (e.g., mutual aid).
Level 2	Deficiency can be overcome using means that can be made available within current laws and funding (e.g. overtime).
Level 3	Deficiency cannot be overcome and will have a negative impact on accomplishing the mission.
Level 4	Deficiency cannot be overcome and will prevent accomplishing the mission.

Risk determinations will consider the accepted capability gap, excesses, deficiencies, issues identified during the analysis, strategic concerns and implications, and will address three major questions:

- Can the task(s) or mission(s) be accomplished and provide a reasonable assurance of success against the specified scenario?
- What are the potential costs? (e.g., lives, property, economic)

- What is the impact on planning? (e.g., requirement to establish mutual aid agreement or request Federal assistance)

Combine Capability Category Requirements for each Scenario

With determination of the initial RCL, deficiencies, and the risk determination for each capability category, the capability category RCL(s) will be combined to produce a scenario-level, prioritized RCL (P-RCL) and gap, excess, deficiency and risk determination for the specific scenario. The assessment teams will collectively identify imbalances within capability categories, apply known constraints, and develop structured, supported, attainable resource sets¹⁹ by the conduct of comparative, trade-off, and risk analysis. The aggregate of inputs will produce a prioritized, “balanced” (*resource constrained*) required capabilities list (P-B-RCL) and gap, excess, deficiency and risk determination for the specific scenario. The P-RCL and gap, excess, deficiency and risk determinations for each capability category for the specific scenario will be reported in detail, as well as summarized using a “stoplight” [i.e., red, yellow, green] methodology.

Combine Scenario Requirements for all Scenarios

The assessment teams will then collectively apply known constraints and examine capabilities and imbalances within categories and develop solution sets by the conduct of comparative, trade-off, and risk analysis across all evaluated scenarios. The output will be a comprehensive-level P-B-RCL and gap, excess, deficiency and risk determination for all evaluated scenarios. In addition, an interoperability assessment may be included in the process, consisting of two parts, key interface identification and standards resolution. Key interfaces are defined as those interfaces that span organizational boundaries, are mission critical, are difficult or complex to manage, or have operational capability, interoperability, or efficiency issues associated with the interface. Key interfaces are not limited to information-based connections, but include the exchange of any critical commodity (e.g., mutual aid, personnel). Once they are identified, highlighting the physical systems where interfaces are resident, the commodity being exchanged, and the set of standards that regulate the interface ensures system interoperability.

The effort advances to the joint review once the preparedness organization approves the P-B-RCL and gap, excess, deficiency and risk determinations.

¹⁹ Resource sets include items such as plans, plan annexes, mutual aid agreements or compacts, training, exercise and equipment requirements, and technical assistance.

Joint Review

The DHS Region²⁰ will then lead a comparison, in close consultation with the preparedness organization, of the P-B-RCL and deficiency and risk determination with existing preparedness programs to map these programs and activities to the P-B-RCL, and establish the corrective actions and improvement plans required for deficiencies. The comprehensive gap, excess, deficiency and risk determination establishes a relative priority for a required capability or deficiency, which can then be matched to existing preparedness programs and activities. Unmet needs are evaluated to identify corrective actions, such as changes in policy, existing programs and activities, translation into new program and activity requirements, or acceptance of risk. The outcome of this effort is a *prioritized, Tiered, balanced capabilities-based program list* and identification of requirements for changes in policies and programs, and risk tolerance. The prioritized program list will meet, within applicable constraints, identified RCLs and corrective actions to address deficiencies. The DHS Region and preparedness organization will also use the prioritized program list and other output to guide updates of all-hazards preparedness strategies, assistance plans, and program plans.

Federal Review

The Unified Preparedness Strategy targets the highest levels of efficiency and effectiveness and the elimination of unnecessary duplication. This requires an analytical capability to define unified needs and conduct cross-community analysis to satisfy those needs at the national level. This analytical capability must be conducted in a collaborative environment that brings the views of key stakeholders into a single forum and integrates all aspects of the unified preparedness strategy.

The DHS Region will be responsible for reporting region-wide assessments (including UASI cites, States/Territories, and the Federal Region itself), including comprehensive P-B-RCLs, and gap, excess, deficiency and risk determinations, to the DHS program office, which will forward them to the I-STAFF, and, as directed, to other Federal departments and agencies. The DHS I-STAFF will be responsible for reporting both a department and a community-wide assessment, including comprehensive P-B-RCLs, and deficiency and risk determinations. The program office will be responsible for review and consolidation of inputs and production of reports, in coordination with the I-STAFF.

At the national level, national capability assessment teams will be established with broad stakeholder participation from organizations with an equity stake in the capability category, to analyze needs and solutions and assess unified capabilities. The teams will be provided with dedicated analytical capability and tools, or augmented by redirecting the efforts of current

²⁰ In the period before planned DHS Regions reach full operational capability, joint review will be performed with a combination of existing regional and national resources.

Federal analysis centers, employing appropriate Federally Funded Research and Development Centers (FFRDCs), or using other contracted analytical expertise. Elements of the homeland security community will provide additional subject matter expertise to these teams.

As proposed, the national capability assessment teams will perform analysis to identify national gaps, excesses and deficiencies for the capability category. The output of this national-level analysis will be used to develop and update a set of “rolling capabilities plans”,²¹ which outline current and future capabilities, anticipated schedules, performance metrics, and estimated costs. A rolling capabilities plan will be developed for each category. It will not be a published document; rather, it will be a repository for decisions made throughout the year. It will serve as a tool to communicate current and future capabilities, gaps and excesses, and the associated efforts to address those gaps and excesses. It will also provide a forum for sharing information about anticipated schedules, performance metrics, and estimated costs of unified programs and about experimentation, technology development, and lessons learned.

These national teams will also be available to provide technical assistance to regional resources involved in analysis and planning in Interval 2, and evaluation and assessments in Interval 3. The teams will review study results, experimentation, after action reports and lessons learned, best practices, threat or hazard changes, technology opportunities, and other sources to identify areas that could affect the capabilities for which they provide analysis. These efforts will be reflected in each team’s “rolling capabilities plan.” The output will be integrated and translated into required reports, briefings, and planning and programming guidance.

A mid-level review body may be required to review all forwarded inputs, and to transmit comments and recommendations, *including non-concurrences or alternative opinions*, to a senior decision body for decision. A senior decision body, chaired by the Secretary or Deputy Secretary of Homeland Security and comprised of senior representatives from elements of the homeland security community, would meet less frequently than the mid-level review body and focus on selecting alternatives and resolving major or contentious issues. The senior decision body *may* return some decisions such as approval for concepts, study assumptions, metrics, methodologies, and capability plans to the mid-level review body.

Technology development must be closely linked to the national unified preparedness strategy and to needs generated by members of the homeland security community. A comprehensive Science and Technology strategy that would be capability-based and component driven would provide improved transition of technology from research, development, testing and evaluation (RDT&E) to acquisition and improve utilization of investments. DHS Science and Technology Directorate (S&T) should be represented on each of the national capability assessment Teams. Existing Centers of Excellence could concentrate efforts in specific categories. This would aid

²¹ A concept identified in the “Joint Defense Capabilities Study: Final Report,” Joint Defense Capabilities Study Team, December 2003.

the development of a comprehensive DHS S&T strategy that would be capability based, optimizing investment and reducing duplication.

Interval 3: Evaluation and Assessment

Interval 3 serves as capability validation. Performance reporting will be outcome focused to ensure that delivered capabilities fully support homeland security national objectives and the national preparedness goal. The desired end state is to move the homeland security community from where it is now to meeting the national preparedness goal of fully integrated unified homeland security capabilities. Capability validation will be provided through regional and State-based exercise programs, other evaluations, and by annual assessments and reports of compliance. The results of these assessments will be presented to decision makers for discussion, will be used as a mechanism to develop subsequent guidance, and will be transmitted once a year to the President as part of the Secretary's annual reporting requirement to the President.

Evaluation and assessment is designed to employ a balanced approach, to compensate for the weakness inherent in individual methodologies. Attempts to quantify or qualify preparedness can produce artificial or misleading results if the methodology fails to compensate for potential error, or is limited in perspective. Self-assessments are prone to error and subject to bias. Inspections create an incentive to gear efforts to passing tests, which are not always consistent with capabilities. Relying solely on major exercises is resource intensive, and cannot be done with high frequency.²² Current assessment efforts do not effectively capture if elements of the homeland security community are prepared to conduct future homeland security operations, and cannot adequately capture the impact of qualitative and performance oriented factors. Absent a credible assessment process, an 'exercise-centric' focus has become the norm. Yet exercises are not representative of larger, more comprehensive community-wide assessment processes. Exercises are only one band within the spectrum of training activities, and by extension, only a small part of the overall preparedness equation.

Exercise and Evaluation

HSPD-8 requires the Secretary to develop a national exercise program that supports achievement of the national preparedness goal. To do this, the National Exercise Program, which was approved for implementation by the HSC Deputies Committee in November 2003, will conduct annual regional and national scheduling conferences to establish multi-year exercise schedules and ensure programs and activities support the unified national preparedness strategy and achievement of the national preparedness goal. Grant funds are provided to States for exercise programs, and the National Strategy for Homeland Security requires that individuals and government bodies complete at least one exercise annually as a means to measure performance and allocate future resources.

²² Betts, Richard K., *Military Readiness – Concepts, Choices, Consequences*, The Brookings Institution, 1995.

To periodically validate demonstrable capabilities on a regional scale, the National Exercise Program will adopt a regional rotation of the Top Officials (TOPOFF) National Exercise Series. Each biennial cycle will include two regions participating in the national full-scale, full-system integrating exercise. Both annual evaluated exercises and the TOPOFF exercise series will incorporate peer-certified performance-based evaluations and assessments. Exercise evaluation methodologies will evaluate performance against standardized metrics, enhancing data analysis and implementation of improvements. The current methodology employed in HSEEP requires evaluation of organizational, operational, and technical capabilities at the task, agency/discipline/function, and mission levels. As part of its training strategy, DHS/ODP developed Emergency Responder Guidelines that identify the essential tasks that response agencies must perform to effectively prevent, respond to, and recover from a threat or act of terrorism, including those involving the use of chemical, biological, radiological, nuclear, or explosive (CBRNE) weapons. Performance measures for the essential tasks are being developed for use in evaluating performance through exercises. This methodology is ideally suited to a capabilities-based approach, and is readily adaptable to the range of standard scenarios.

Interval 3 will also include an annual assessment and reporting requirement to ensure compliance with a common set of criteria centered on the provisions of the NIMS. The DHS program office(s), Regions and other Federal agencies and departments will establish cadres of qualified peer assessors (including national assessment team representatives) to conduct independent compliance validations.

A system for collecting, reporting, analyzing, interpreting, and disseminating lessons learned and exemplary practices will be implemented to meet the requirement of HSPD-8 to “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.” A national evaluation program will focus on significant deficiencies, trends, and strategic issues and concerns that require the initiation, coordination, and monitoring of actions to correct deficiencies. The National Exercise Program includes resources for development of these systems, and envisions a dynamic network for expert analysis, and a consolidated repository of lessons and improved practices that is electronically accessible via a secure but unclassified web portal.

National-Level Assessment and Reporting

At the national level, staffs and program offices will use the requirements, excesses, identified deficiencies, and preparedness and risk determinations to make informed assessments of homeland security asset structures and strategies. These assessments will result in a *‘balanced national scorecard’* detailing progress toward achieving the national preparedness goal. The balanced scorecard is a performance measurement system that attempts to relate an organization’s mission and strategy to concrete, operationalized metrics. It involves development of a carefully identified set of performance measures or key performance indicators. It is a stakeholder oriented measurement program, making it well suited to the

unified national preparedness strategy. The *'national scorecard'* is the top level and will represent the homeland security community as a whole. Beneath the national *'scorecard'* will be *'regional scorecards,'* prepared by the DHS Regions, and their State and Urban Area *'scorecards.'* The hierarchical model can be applied to as many sub-levels as needed. Sub-levels will develop a unique scorecard based on missions and functions and how they support the attainment of the parent entity's preparedness goals. Evaluated in its entirety, each scorecard demonstrates the level of success in achieving the national preparedness goal.

The scorecards will be used to identify critical preparedness deficiencies, develop strategies for rectifying those deficiencies, and ensure they are addressed in programming and budgeting and other management systems. Proposed reporting would be limited to Federal departments and agencies, DHS Regions, States, and UASI cities – which are direct recipients of Federal preparedness funding. These balanced scorecards will serve as the reporting component of the national preparedness assessment and reporting system. Federal departments and agencies, States, Territories, and UASI cities may choose to require reporting from their sub-components, but that information would not be reported to the national level.

These national assessments will determine whether capabilities are being delivered as expected and as directed; and whether total capabilities are sufficient to meet the national preparedness goal. Output of the assessment process will take the form of periodic briefings, and a written annual report as required by HSPD-8. Both will be organized around the capabilities categories, and objectives outlined in strategic planning and programming guidance. The primary audience for the periodic briefings will be national leaders. The briefings will be based on capability metrics defined in the planning process. The annual report to the President will be at a high level of aggregation and will summarize overall preparedness and relate it to the national preparedness goal.

CONCLUSION

Implementing HSPD-8 as proposed will improve preparedness practice and doctrine in a way that strengthens homeland security. This concept provides the methodology necessary to build and assess required demonstrable capabilities, establish a national preparedness goal, and measure progress of the homeland security community in achieving the goal.

Unified national all-hazards preparedness requires an institutionalized approach, which can only be achieved if preparedness programs and initiatives are reoriented and synchronized to deliver required capabilities. These efforts must be reoriented in a framework to build combinations of properly trained, equipped, and tested people, resources and processes -- *systems* -- working in a unified and coordinated manner to achieve specific desired outputs -- *capabilities* -- under specified conditions and to national standards.

The tragic events of 9/11 set the national agenda for homeland security. That agenda is built upon interoperability and unified practices for operations and for preparedness. Our national leaders have directed in law and policy the integration of “terrorism preparedness,” “disaster preparedness,” and “emergency preparedness,” into “national all-hazards preparedness.” And they have called for measurable progress towards a national preparedness goal, in order to analyze the return on investment for the American people. Homeland security preparedness depends upon systems, built on capabilities and comprised of resources, that can cope with diverse circumstances, influences and conditions. This unified approach is essential to making informed judgments about homeland security investments and strategies.

Improvements in preparedness doctrine and practice are required to move to a capabilities-based approach to support what are inherently shared missions among levels of government and organizations. We must modernize our processes for determining needs, creating solutions, making decisions, and providing capabilities to support homeland security operations. This requires streamlined processes and alternative organizations to better integrate capabilities in support of national homeland security objectives, to provide an accurate picture of national needs, and provide a consistent view of priorities and acceptable risks across the homeland security community. These actions will enable the entire homeland security community to build a better prepared America.

Appendix A: Homeland Security Presidential Directive/HSPD-8

December 17, 2003

Subject: National Preparedness

Purpose

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

Definitions

(2) For the purposes of this directive:

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

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

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

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

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

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

(g) The term "national homeland security preparedness-related exercises" refers to homeland security-related exercises that train and test national decision makers and utilize resources of multiple Federal departments and agencies. Such exercises may involve State and local first responders when appropriate.

Such exercises do not include those exercises conducted solely within a single Federal department or agency.

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

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

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

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

Relationship to HSPD-5

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

Development of a National Preparedness Goal

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

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

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

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

(6) The national preparedness goal will establish measurable readiness priorities and targets that appropriately balance the potential threat and magnitude of terrorist attacks, major disasters, and other emergencies with the resources required to prevent, respond to, and recover from them. It will also include readiness metrics and elements that support the national preparedness goal including standards for preparedness assessments and strategies, and a system for assessing the Nation's overall preparedness to respond to major events, especially those involving acts of terrorism.

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

Federal Preparedness Assistance

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

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

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

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

(12) The Attorney General, the Secretary of HHS, the Secretary of Transportation, the Secretary of Energy, the Secretary of Veterans Affairs, the Administrator of the Environmental Protection Agency, and the heads of other Federal departments and agencies that provide assistance for first responder

preparedness shall coordinate with the Secretary to ensure that such assistance supports and is consistent with the national preparedness goal.

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

Equipment

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

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

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

Training and Exercises

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

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

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

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

Federal Department and Agency Preparedness

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

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

Citizen Participation

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

Public Communication

(23) The Secretary, in consultation with other Federal departments and agencies, State and local governments, and non-governmental organizations, shall develop a comprehensive plan to provide

accurate and timely preparedness information to public citizens, first responders, units of government, the private sector, and other interested parties and mechanisms for coordination at all levels of government.

Assessment and Evaluation

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

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

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

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

GEORGE W. BUSH

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Appendix B: Action Plan

Executive Summary: HSPD-8 Requirements and Initiatives	
<i>Preparedness Goal</i>	
Measurable priorities and targets that balance threat and resources.	Unified Preparedness Strategy; National Preparedness Assessment and Reporting System
Readiness metrics including standards and a system to assess preparedness.	
Submit Goal through HSC concurrent with DHS FY06 submission to OMB.	
<i>Preparedness Assistance</i>	
Single point of access for information by 02/15/04.	Balanced Investments Initiative
Submit through HSC specific programs to be coordinated.	
Full implementation of closely coordinated interagency grant process by 9/30/05.	
Secretary DHS, in coordination with other Federal D/A, review and approve all-hazards State strategies; required for grants by 9/30/05.	
Base first responder grants on population, critical infrastructure, other risk factors.	
Federal D/A coordinate with DHS to ensure preparedness assistance supports Goal.	
Federal D/A must have rapid obligation and disbursement of funds, and report annually to DHS.	
<i>Equipment</i>	
DHS, coordinating with State and local officials, responder organizations, private sector and Federal D/A, shall establish equipment standards for interoperability.	Balanced Investments Initiative
Equipment purchased with Federal funds must conform to standards.	
Federal D/A coordinate equipment research and development based on threats.	
<i>Training & Exercises</i>	
DHS, coordinating with homeland security community, develop comprehensive training program, including standards, for responders, officials, and others with preparedness, prevention, response, and recovery roles.	National Training and Exercise System
DHS, coordinating with Federal D/A, establish a national exercise program and multi-year plan, submitted to President through HSC.	
All Federal D/A coordinate on a master exercise calendar.	
DHS develop system for lessons learned/best practices through exercises, and events. Federal D/A must participate, States and locals encouraged.	
<i>Federal Department and Agency Preparedness</i>	
Support Goal, including quantifiable performance measurements for training, planning, equipment, and exercises.	National Preparedness Assessment and Reporting System
Maintain assets, such as teams, stockpiles, and caches, consistent with Goal.	
DHS will develop Federal response capability inventory with specific information.	
<i>Citizen Participation</i>	
DHS, with Federal D/A, State and local governments, and private sector, will encourage active citizen participation & involvement in preparedness.	National Training and Exercise System
Secretary DHS will periodically review and identify best practices.	
<i>Public Communication</i>	
DHS, with Federal D/A, State and local governments, and non-governmental organizations, will develop comprehensive plan to provide accurate and timely preparedness information	Unified Preparedness Strategy
<i>Assessment & Evaluation</i>	
DHS to annual report, through HSC to President on nation's level of preparedness. First report 1 year after establishment of Goal.	National Preparedness Assessment and Reporting System

Unified Preparedness Strategy

Associated DHS Strategic Goal: #8 - Preparedness.
DHS Lead: ODP / I-STAFF

Related tasks within this objective are led by the NIMS Integration Center (NIC), Office of Public Affairs (PA), and Office for State and Local Government Coordination (OSLGC)

Description of Milestone	Due Date
A. Establish and enforce mechanisms to integrate or synchronize preparedness efforts within the Department and with other entities.	12/31/04
Coordinate development of 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. HSPD-8(23)	12/31/04
Draft HSPD-8 Implementation concept, and obtain approval	complete
Coordinate implementation and submit National Preparedness Strategy to President through HSC for approval (with assessment system). HSPD-8(6)	9/15/04
F. Performance Measures	9/30/04
Develop performance measures to assess progress and effectiveness of efforts to integrate or synchronize preparedness efforts within the Department and between the Department and other entities.	9/30/04

National Preparedness Assessment and Reporting System

Associated DHS Strategic Goal: #8 – Preparedness
DHS Lead: ODP

Related tasks within this objective are led by the Emergency Preparedness and Response Directorate (EP&R), I-STAFF, NIC, and S&T. Linked tasks to this objective are led by EP&R as part of DHS Strategic Goal #9 – Response.

Description of Milestone	Due Date
B. Develop a comprehensive, analytically-derived, risk-and capability-based homeland security preparedness reporting system with associated goals and metrics. HSPD-8(6)	9/30/04
Generate standard scenarios through strategic planning system to inform capability goals, metrics and requirements.	4/30/04
Establish prioritizes 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. HSPD-8(6)	7/31/04
Include metrics, standards for assessments and strategies, and a system for assessing the Nation's overall preparedness to respond to major events, with priority to those involving acts of terrorism. HSPD-8(6)	7/31/04
Consider issues of jurisdiction population concentrations, critical infrastructures, and other significant risk factors, particularly terrorism threats. HSPD-8(10)	7/31/04
Submit the goal to the President through the HSC for review and approval before or with the DHS FY06 budget submission to OMB. HSPD-8(7)	9/15/04
Coordinate with EP&R to evaluate preparedness of specialized Federal assets to ensure they are maintained at levels consistent with the national preparedness goal. HSPD-8(21)	12/31/04
Coordinate development of quantifiable performance measurements for DHS in the areas of training, planning, equipment, and exercises for Federal preparedness to support the goal and submit to SECDHS for adoption. HSPD-8(20).	3/15/05
Ensure Heads of other Federal D/As adopt quantifiable performance measurements in the areas of training, planning, equipment, and exercises for Federal preparedness, and submit to SECDHS. HSPD-8(20)	3/15/05
Provide assessments to Heads of Federal D/A to inform resource allocation decisions to support preparedness of Federal response assets. HSPD-8(10)	7/31/05
Provide annual status reports to the President through the Assistant to the President for Homeland Security on the Nation's level of preparedness. HSPD-8(24)	9/30/05
F. Performance Measures	9/30/04
Develop performance measures to assess progress and effectiveness of efforts to build a national preparedness assessment system.	9/30/04

National Training and Exercise System

***Associated DHS Strategic Goal: #8 - Preparedness.
DHS Lead: ODP***

Related tasks within this objective are led by EP&R, I-STAFF, NIC, and S&T.

D. Build a national training and evaluation system.	9/30/05
Establish and maintain a comprehensive requirements-based training program to meet the national preparedness goal. HSPD-8(17)	9/30/05
Establish a comprehensive, universal list of homeland security mission essential tasks (METs) to establish requirements for training, exercise, evaluation and assessment programs.	7/31/04
Identify MET standards and incorporate in existing training and exercise programs. HSPD-8(17)	3/31/05
Review existing federal training against METs to determine gaps and duplication. HSPD-8(17)	9/30/05
Include private organizations in the accreditation and delivery of training as appropriate and to the extent permitted by law. HSPD-8(17)	9/30/05
Train and exercise the Nation's first responders, officials, and others with major event preparedness, prevention, response, and recovery roles on METs to standards under specified conditions. HSPD-8(17)	9/30/05
Establish and maintain a national exercise program. HSPD-8(18)	9/30/05
Develop concept, obtain approval from Secretary- and HSC Deputies Committee and implement program.	complete
Establish a collaborative, interagency process to designate national-level exercises and create a master exercise calendar. HSPD-8(18)	7/31/04
Ensure that all exercises included in the calendar support the national preparedness goal. HSPD-8(18)	7/31/04
Develop a multi-year exercise plan and submit the plan to the President through the HSC for review and approval. HSPD-8(18)	7/31/04
Establish and maintain the program in collaboration with State and local governments and appropriate private sector entities. HSPD-8(18)	9/30/05
Conduct exercises that reinforce identified METs and training standards, provide for evaluation of preparedness, and support achievement of the national preparedness goal. HSPD-8(18)	9/30/05
Develop and maintain a lessons learned/best practices system. HSPD-8(19)	9/30/05
Identify relevant classes of homeland-security related information and appropriate means of transmission for the information to be included in the system. HSPD-8(19)	9/30/04
Ensure Federal departments and agencies and State and local governments provide this information to the Secretary to the extent permitted by law. HSPD-8(19)	3/31/05
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. HSPD-8(19)	9/30/05
Periodically review and identify the best community practices for integrating private citizen capabilities into local preparedness efforts. HSPD-8(22) (Citizen Corps)	9/30/05
Establish procedures to use the information to improve national preparedness to prevent, respond to, and recover from major events. HSPD-8(19)	9/30/05
F. Performance Measures	9/30/04
Develop performance measures to assess progress and effectiveness of efforts to build a national training and evaluation system.	9/30/04

Balanced Investments Initiative

Associated DHS Strategic Goal: #8 – Preparedness.

DHS Lead: ODP

Related tasks within this objective are led by the Border and Transportation Security Directorate (BTS), EP&R, I-STAFF, NIC, and S&T.

Description of Milestone	Due Date
C. Coordinate Federal preparedness assistance programs.	9/30/05
Establish a single point of access to Federal preparedness assistance program information. HSPD-8(8)	complete
Obtain guidelines from NIC to determine whether a State or local entity has adopted NIMS. HSPD-5	5/1/04
Coordinate efforts to make adoption of NIMS a requirement for Federal preparedness assistance. HSPD-5	10/1/04
Transfer grant programs to ODP consistent with Secretary's direction.	9/30/04
Ensure Federal departments and agencies report annually to the Secretary on the obligation, expenditure status, and use of funds associated with Federal preparedness assistance programs. HSPD-8(13)	10/1/04
Achieve full implementation of a unified, fast and effective interagency grant application and award process. HSPD-8(8)	9/30/05
Coordinate review and approval of statewide comprehensive all-hazards preparedness strategies submitted by the States with program offices in DHS and other Federal D/A. HSPD-8(9)	9/30/05
Make adoption of approved <u>all-hazards</u> statewide strategies a requirement for Federal preparedness assistance. HSPD-8(9)	9/30/05
Coordinate efforts to base allocations of Federal preparedness assistance to the States for first responder [and other] preparedness on assessments of preparedness, population concentrations, critical infrastructures, and other significant risk factors, particularly terrorism threats. HSPD-8(10)	9/30/05
Ensure grant programs and awards support and are consistent with the national preparedness goal. HSPD-8(12)	9/30/05
Ensure equipment purchased through Federal preparedness assistance conforms to equipment standards in place at time of purchase. HSPD-8(15)	9/30/05
Ensure Heads of Federal D/A use preparedness assessments to allocate resources to maintain specialized Federal assets at levels consistent with the national goal. HSPD-8(20)	9/30/05
Obtain guidelines from NIC and S&T on equipment standards for grants.	9/30/05
F. Performance Measures	9/30/04
Develop performance measures to assess progress and effectiveness of efforts to coordinate Federal preparedness assistance programs.	9/30/04

Description of Milestone	Due Date
E. Improve National equipment standards-to support interoperability in equipment and communications systems among all responders.	9/30/05
Establish and implement streamlined procedures for the development and adoption of equipment standards that support nationwide interoperability consistent with the national preparedness goal. HSPD-8(14)	9/30/05
EP&R, ODP and S&T to coordinate or consolidate communications equipment and systems. HSA 2002	9/30/05
Work with ODP and NIC to develop plans to identify and address national first responder [and other] equipment research and development needs based upon assessments of current and future threats. HSPD-8(16)	12/31/04
Review equipment requirements in terms of mission essential tasks to ensure that S&T facilitates development of pertinent emerging technologies.	3/31/05
Complete Interoperable Communications Demonstration Projects.	complete
Awarded 17 demonstration grants.	complete
Conduct workshop with grantees in partnership with SAFECOM and the Dept. of Justice COPS Office	complete
Submit best practices and lessons learned to the national lessons learned/best practices system manager.	12/31/04
F. Performance Measures	9/30/04
Develop performance measures to assess progress and effectiveness of efforts to establish equipment standard and interoperability.	9/30/04

Appendix C: Charter for the Senior Steering Committee

- 1. Purpose.** Homeland Security Presidential Directive 8/HSPD-8 tasks the Secretary of Homeland Security, in coordination with the heads of other appropriate Federal departments and agencies and in consultation with State and local governments, 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 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.

The purpose of the Senior Steering Committee (hereinafter, “the Steering Committee”) is to assist the Secretary of Homeland Security in providing direction and oversight to that effort (see Appendix B, Action Plan).

- 2. Authority and Background.** The Steering Committee is established by the Secretary of Homeland Security, in coordination with the Homeland Security Council, under the authority of HSPD-8, signed by the President on December 17, 2003.
- 3. Approach.** DHS has designated the Office for Domestic Preparedness (ODP) as the office of primary responsibility for HSPD-8 implementation. DHS will form a Steering Committee to review and oversee the progress and products of integrated concept teams and program offices, in order to obtain executive level input and “top down” guidance to keep initiatives on track, and ensure the products integrate into a unified national preparedness system. DHS will form ICTs, which will be working-level bodies that will meet as needed to develop a detailed plan and requirements documents, obtain necessary approvals, and turn over materials to a program office or offices for implementation. *Wherever possible, the Steering Committee will seek to achieve the highest payoff and impact by building on program activities and initiatives that are underway in the Department, the Federal Government, or elsewhere in the public or private sectors.*
- 4. Membership, Organization, and Process.** The Committee shall be organized as follows (see section 9: Organizational Matrix):
 - 4.1. Membership.** The Steering Committee shall consist of Assistant Secretary level representatives of organizations within DHS, other Federal departments and agencies, and State and local governments with significant roles as providers or recipients of Federal preparedness assistance.
 - 4.2. Chair.** The Director, DHS Office for Domestic Preparedness, shall chair the Steering Committee.
 - 4.3. Decision-Making.** Recommendations of the Steering Committee shall be developed by consensus. Where in the judgment of the Chair a consensus recommendation is not

possible, the Chair will obtain a consensus description of the opposing views and provide the Chair's recommendation to the Office of the Secretary for resolution.

- 4.4. **Reporting.** The Steering Committee shall report its recommendations to DHS through the Chair. The Chair shall utilize the Homeland Security Advisory Council to obtain nominations for State and local members and non-Federal views.

5. Duties.

- 5.1. **Members.** Steering Committee members shall aid the Secretary, through the Chair, by:

- 5.1.1. Advising DHS on development of a unified national preparedness system and its components as enumerated in HSPD-8, including oversight, review, and comment on work of the interagency integrated concept teams;
- 5.1.2. Ensuring support to integrated concept teams for development of unified national preparedness system components, as requested by the Chair;
- 5.1.3. Recommending to the Chair which products or issues are sufficiently developed for consultation with the Homeland Security Advisory Council; and
- 5.1.4. Reporting on their organizations' implementation, or preparedness to implement, HSPD-8 requirements as elaborated by the integrated concept teams; and

- 5.2. **Chair.** The Chair shall:

- 5.2.1. Set the time and place for Steering Committee meetings.
- 5.2.2. Ensure documentation and communication of meeting requirements and outcomes occurs as described in paragraph 5, below.
- 5.2.3. Preside over Steering Committee meetings.
- 5.2.4. Ensure coordination with the Homeland Security Advisory Council and the Office of the Secretary.

- 6. Meetings.** The Committee is a decision-making body; it shall meet as often as required in order to receive decision briefings, resolve issues, and provide direction to the Integrated Concept Teams and/or program offices. Meetings are expected to occur monthly, for two to four hours, or more often during peak periods. The Chair shall designate the time and place for the meetings, and ensure that meeting announcements are provided to members at least 72 hours prior to the meeting, that an agenda and necessary read-ahead materials are provided in advance, that minutes (including the Committee's recommendations and action items) are recorded.

- 7. Administrative Support.** DHS shall provide administrative support to the Committee.

- 8. Termination.** The Committee shall terminate no later than December 31, 2005, and turn over any continuing responsibilities to appropriate standing organizations established under the auspices of DHS and the Homeland Security Council.

9. Organizational Matrix.

The Steering Committee is limited to one executive-level representative from each of the organizations identified below. These organizations were identified by DHS in coordination with the Homeland Security Council, based on HSPD-8 requirements.

Nominees for State and local representatives shall be identified through the Executive Director of the Homeland Security Advisory Council. State and local input may be obtained through reimbursable travel, video teleconferencing, and/or online review of draft materials through a web-based collaborative tool.

ORGANIZATION	ROLE	NAME/ CONTACT INFORMATION
<i>DHS</i>		
Office for Domestic Preparedness	Chair	Sue Mencer
Headquarters Operational Integration Staff	Member	
U.S. Coast Guard	Member	
Emergency Preparedness and Response Directorate	Member	
Information Analysis and Infrastructure Protection Directorate	Member	
Science and Technology Directorate	Member	
<i>Other Federal</i>		
White House – Homeland Security Council	Member	
White House – Office of Management and Budget	Member	
Department of Energy	Member	
Department of Health and Human Services	Member	
Department of Justice	Member	
Department of Transportation	Member	
Department of Veterans Affairs	Member	
Environmental Protection Agency	Member	
<i>State and Local</i>		
	Member	
	Member	
	Member	
	Member	
	Member	
	Member	
	Member	

Appendix D: Charter for the Integrated Concept Teams

- 1. Purpose.** Homeland Security Presidential Directive 8/HSPD-8 tasks the Secretary of Homeland Security, in coordination with the heads of other appropriate Federal departments and agencies and in consultation with State and local governments, 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 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.

The purpose of the ICTs are to assist the Department of Homeland Security (DHS) to meet the requirements identified in Appendix B, Action Plan:

- The Assessment and Reporting ICT shall address the requirements identified under the “National Preparedness Assessment and Reporting System.”
- The Training and Exercises ICT shall address the requirements identified under the “National Training and Exercise System.”
- The Balanced Investments ICT shall address requirements identified under the “Balanced Investments Initiative.”

- 2. Authority and Background.** ICTs are established by DHS under the authority of HSPD-8, signed by the President on December 17, 2003.
- 3. Approach.** DHS has designated the Office for Domestic Preparedness (ODP) as the office of primary responsibility for HSPD-8 implementation. DHS will form a Steering Committee to review and oversee the progress and products of integrated concept teams and program offices, in order to obtain executive level input and “top down” guidance to keep initiatives on track, and ensure the products integrate into a unified national preparedness system. DHS will form ICTs, which will be working-level bodies that will meet as needed to develop a detailed plan and requirements documents, obtain necessary approvals, and turn over materials to a program office or offices for implementation. *Wherever possible, ICTs will seek to achieve the highest payoff and impact by building on program activities and initiatives that are underway in the Department, the Federal Government, or elsewhere in the public or private sectors.*

- 4. Membership, Organization, and Process.** Each ICT shall be organized as follows:

- 4.1. Membership.** The ICT shall consist of relevant subject matter experts from organizations within DHS, other Federal departments and agencies, and State and local governments with significant roles as providers or recipients of Federal preparedness assistance.

- 4.2. Facilitator. Representatives from the HSPD-8 Project Management Team will serve as the Facilitators for the ICT.
- 4.3. Decision-Making. Recommendations of the ICT shall be developed by consensus. Where in the judgment of the Membership and Facilitator a consensus recommendation is not possible, the Facilitator will obtain a consensus description of the opposing views and provide a recommendation to the Senior Steering Committee.
- 4.4. Reporting. The ICT shall report its recommendations to the Senior Steering Committee.

5. Duties.

5.1. Members. ICT Members shall:

- 5.1.1. Be available for the duration of the ICT; continuity is essential.
- 5.1.2. Provide their best recommendations on implementing the initiative specified in HSPD-8, including review and comment on all work developed by the ICT.
- 5.1.3. Recommend to the Facilitator which products or issues are sufficiently developed for forwarding to the Senior Steering Committee.
- 5.1.4. Identify their organization's potential contributions to implementation.

5.2. Facilitators. The Facilitator shall:

- 5.2.1. Set the time and place for ICT meetings.
- 5.2.2. Ensure documentation and communication of meeting requirements and outcomes occurs as described in paragraph 5, below.
- 5.2.3. Facilitate ICT meetings.
- 5.2.4. Ensure coordination with other ICTs and other organizations as appropriate.

- 6. Meetings.** An ICT is a working-level body; it shall meet as often as required in order to develop a detailed program concept, implementation plan, and resource requirements. Meetings are expected to occur several times per week, in full-day or half-day sessions. The Facilitator shall designate the time and place for the meetings, and ensure that meeting announcements are provided to Members at least 48 hours prior to the meeting, that an agenda and necessary read-ahead materials are provided in advance, and that minutes (including the ICT's recommendations and action items) are recorded.

- 7. Administrative Support.** DHS shall provide administrative support to the ICTs.

- 8. Termination.** ICTs shall terminate no later than September 30, 2004, and turn over continuing responsibilities to appropriate program office or offices for implementation.

9. Organizational Matrix.

ICTs are open to representatives from all organizations within DHS, other Federal departments and agencies, and State and local governments with significant roles as providers or recipients of Federal preparedness assistance in the areas of: capability definition, inventory, assessment and reporting (Assessment and Reporting ICT); training, exercises, and lessons learned/best practices (Training and Exercises ICT); preparedness strategies, grants, and equipment needs (Balanced Investments ICT).

Organizations may provide more than one member, provided they meet the requirement to be available for the duration of the ICT; continuity is essential.

Nominees for State and local representatives shall be identified through the Executive Director of the Homeland Security Advisory Council. State and local input may be obtained through reimbursable travel, video teleconferencing, and/or online review of draft materials through a web-based collaborative tool.

Assessment and Reporting

SUGGESTED ORGANIZATION	ROLE	NAME/ CONTACT INFORMATION
<i>DHS</i>		
HSPD-8 Project Management Team	Facilitator	Katie Sutton
Office for Domestic Preparedness	Member(s)	
Emergency Preparedness and Response	Member(s)	
Information Analysis and Infrastructure Protection Directorate	Member(s)	
Transportation Security Administration	Member(s)	
<i>Other</i>		
Department of Defense	Member(s)	
State and Local	Member(s)	
	Member(s)	
	Member(s)	
	Member(s)	
	Member(s)	
	Member(s)	

Training and Exercises

SUGGESTED ORGANIZATION	ROLE	NAME/ CONTACT INFORMATION
<i>DHS</i>		
HSPD-8 Project Management Team	Facilitator	Lenna Storm
Office for Domestic Preparedness	Member(s)	
Border and Transportation Security Directorate	Member(s)	
Emergency Preparedness and Response Directorate	Member(s)	
Science and Technology Directorate	Member(s)	
U.S. Coast Guard	Member(s)	
<i>Other</i>		
Department of Agriculture	Member(s)	
Department of Defense	Member(s)	
Department of Energy	Member(s)	
Department of Health and Human Services	Member(s)	
Department of Transportation	Member(s)	
Environmental Protection Agency	Member(s)	
State and Local	Member(s)	

Balanced Investments

SUGGESTED ORGANIZATION	ROLE	NAME/ CONTACT INFORMATION
<i>DHS</i>		
HSPD-8 Project Management Team	Facilitator	Justin Brown
Office for Domestic Preparedness	Member(s)	
Emergency Preparedness and Response	Member(s)	
<i>Other</i>		
Department of Energy	Member(s)	
Department of Justice	Member(s)	
Department of Health and Human Services	Member(s)	
Department of Transportation	Member(s)	
Department of Veterans Affairs	Member(s)	
Environmental Protection Agency	Member(s)	
State and Local	Member(s)	

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TERMS AND DEFINITIONS

Balanced: Resource-Constrained.

Baseline Capabilities List (BCL): A Baseline Capabilities List is an indicator of the minimum capability required to *provide a reasonable assurance of success* against a scenario.

Capability: A combination of resources (personnel, equipment, and other elements) that provide a means to achieve an outcome, under specified conditions and to national standards.

Capability Category: The Joint Staff defines capability categories as representing the broad activities or processes that must take place for the Department of Defense to successfully pursue its operational and support missions; i.e., force application, protection, logistics, command and control, battlefield awareness, force management, and infrastructure. *Similar categories can be developed for homeland security.* If the right categories are created, then strategic guidance, capabilities-based analysis and planning, programs and budgets can be organized around them.

Conditions: refers to variables of the environment that affect performance of a task.

Constraints: Limitations that include such factors as fiscal limitations, affordability issues, staffing shortages, training limitations, or equipment shortfalls.

Deficiencies: refers to capability deficiencies and implies that a capability exists, but is insufficient to provide a reasonable assurance of success against a specified scenario.

Demonstrable: refers to capabilities that are linked to performance evaluation tools for training, exercises, and assessments.

Excesses: Refers to capability excesses and implies that unnecessary redundancy exists or a specific capability is no longer needed.

Gaps: refers to capability gaps and implies that tasks or missions cannot be accomplished with current capabilities.

Homeland Security Community: refers to the resources (personnel, equipment and other elements) at all levels of government and in the private sector, working in a unified manner to achieve homeland security missions.

Integrated Concept Team (ICT): A working level team chartered for a specific purpose and limited duration that uses an integrated approach to build a successful and balanced system concept, conduct horizontal and vertical coordination, gain stakeholder consensus, and define resource needs.

Interval: refers to time periods denoting various durations and levels of effort.

Measurable: refers to capabilities associated with specified conditions and national standards.

Metrics: Measures of the performance and preparedness of an organization, demonstrating specific capabilities within a system framework relative to its homeland security mission as identified in concrete mission requirements (i.e., mission essential tasks).

Prioritized Balanced Required Capabilities List (P-B-RCL): The outcome of the aggregate of inputs from the BCL and RCL.

Required: refers to capabilities that are composed of mission-essential tasks.

Required Capabilities List (RCL): The RCL contains those capabilities not on hand (neither organic to members of the preparedness organization nor available through mutual aid) that are required to meet the Baseline Capabilities List.

Rolling Capabilities Plans: A rolling capabilities plan will be developed for each category. It will not be a published document; rather, it will be a repository for decisions made throughout the year. It will serve as a tool to communicate current and future capabilities, gaps and excesses, and the associated efforts to address those gaps and excesses.

Senior Steering Committee: An executive level committee chartered for a specific purpose and limited duration that provide executive-level input and “top down” guidance to keep initiatives on track.

Standards: refers to measures and criteria of performance; how well a unit must perform a task under a specific set of conditions.

Tier: A class of jurisdictions based on population concentration, critical infrastructure, other risk factors. Tiers may include single jurisdictions and multi-jurisdiction organizations (potential mutual aid partners).

Unified: refers to efforts that allow all agencies and levels of government with responsibility for a mission to work together by establishing a common set of objectives and strategies. This is done without losing or abdicating authority, responsibility, or accountability.

Universal Mission-Essential Task List: defines the tasks that are essential to the ability to perform homeland security missions, the organizations that need to perform them, the condition(s) under which they need to be performed (which vary by scenario), and the performance standard(s) for the task.

ACRONYMS AND ABBREVIATIONS

BCL	Baseline Capabilities List
CBRNE	Chemical, Biological, Radiological, Nuclear, and Explosive
D/A	Department/Agency
DHS	Department of Homeland Security
ePMO	Electronic Program Management Office
EP&R	DHS Emergency Preparedness and Response Directorate
FFRDC	Federally Funded Research and Development Centers
(D)HHS	Department of Health and Human Services
HSC	Homeland Security Council
HSPD-8	Homeland Security Presidential Decision Number 8
ICT	Integrated Concept Team
I-STAFF	Headquarters Operational Integration Staff
MET	Mission Essential Task
NIC	NIMS Integration Center
NIMS	National Incident Management System
NRP	National Response Plan
ODP	DHS Office for Domestic Preparedness
OMB	Office of Management and Budget
OSLGC	Office for State and Local Government Coordination
P-RCL	Prioritized Required Capabilities List
P-B-RCL	Prioritized Balanced Required Capabilities List
R&D	Research and Development
RDT&E	Research, Development, Testing and Evaluation
RCL	Required Capabilities List
S&T	DHS Science and Technology Directorate
SEC DHS	Secretary of the Department of Homeland Security
TOPOFF	Top Officials National Exercise Series
UASI	Urban Area Security Initiative
WMD	Weapons of Mass Destruction