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# National Preparedness Goal

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Homeland Security Presidential Directive 8: *“National Preparedness”*

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Homeland  
Security

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March 2005

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Homeland  
Security

[INSERT DATE]

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4 MEMORANDUM FOR: Cabinet Secretaries  
5 Agency Directors  
6 Members of Congress  
7 Governors  
8 Mayors  
9 County, Township, and Parish Officials  
10 State Homeland Security Advisors  
11 Homeland Security Advisory Council  
12 State, Local, and Tribal First Responders  
13  
14 FROM: Admiral James Loy  
15 Acting Secretary  
16  
17 SUBJECT: National Preparedness Goal  
18

19 In Homeland Security Presidential Directive 8 (HSPD-8), the President tasked me to develop a  
20 national domestic all-hazards preparedness goal, in coordination with the heads of other appropriate  
21 Federal departments and agencies and in consultation with State, local, and tribal governments, and  
22 to submit the goal to him through the Homeland Security Council for review and approval.

23 The National Preparedness Goal (or Goal) is a significant element of HSPD-8. The Goal is  
24 supported by six national priorities that encompass expanded regional collaboration; National  
25 Incident Management System (NIMS) and National Response Plan (NRP) implementation; National  
26 Infrastructure Protection Plan (NIPP) implementation; chemical, biological, radiological, nuclear,  
27 and explosive (CBRNE) detection capabilities; interoperable communications capabilities; and  
28 medical surge capabilities.

29 Progress towards implementing the Goal must be assessed in order to monitor effectiveness and  
30 adjust policies, programs, and budgets accordingly. To the extent permitted by law, requirements in  
31 existing Federal programs will be realigned to support the Goal, including statewide strategies, first  
32 responder preparedness assistance, first responder equipment standards and research and  
33 development efforts, a national training program, a national exercise program, Federal performance  
34 measurements, relevant Federal regulatory requirements, maintenance of specialized Federal assets,  
35 and an annual status report on the Nation's level of preparedness. Annual status reports will focus  
36 on the priorities, which will be updated and refined over time.

37 Your input has been, and will continue to be, vital to developing and achieving an effective and  
38 comprehensive Goal. The people of the Department of Homeland Security will continue to work  
39 with you to better prepare the Nation for all hazards, especially terrorism.

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

3  
4 U.S. Department of Homeland Security  
5 Office of State and Local Government Coordination and Preparedness  
6 (ATTN: Office for Policy, Initiatives, and Analysis)  
7 810 7th Street, NW  
8 Washington, DC 20531  
9

10 The National Preparedness Goal will be made available on the ODP Secure Portal  
11 (<https://odp.esportals.com>).

12  
13 For more information on HSPD-8 implementation, go to  
14 <http://www.ojp.usdoj.gov/odp/welcome.html>  
15

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## 1.0 INTRODUCTION

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

On December 17, 2003, the President issued Homeland Security Presidential Directive/HSPD-8, “*National Preparedness*” (see Appendix C). The purpose of HSPD-8 is to “*establish policies to strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other emergencies 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.*” HSPD-8 marks a significant step forward in the post-9/11 era by explicitly recognizing that preparedness is a shared national responsibility.

HSPD-8 establishes the Secretary of Homeland Security as “*the principal Federal official for coordinating the implementation of all-hazards preparedness in the United States*” and requires establishment of a National Preparedness Goal. “*...To help ensure the preparedness of the Nation to prevent, respond to, and recover from threatened and actual domestic terrorist attacks, major disasters, and other emergencies, the Secretary, in coordination with the heads of other appropriate Federal departments and agencies and in consultation with State and local governments shall develop a national domestic all-hazards preparedness goal. ...The national preparedness goal will establish measurable readiness priorities and targets that appropriately balance the potential threat and magnitude of terrorist attacks, major disasters, and other emergencies with the resources required to prevent, respond to, and recover from them. It will also include readiness metrics and elements that support the national preparedness goal including standards for preparedness assessments and strategies, and a system for assessing the Nation’s overall preparedness to respond to major events, especially those involving acts of terrorism.*”

The Secretary charged the Executive Director of the Office of State and Local Government Coordination and Preparedness (DHS/SLGCP) with responsibility to lead the HSPD-8 implementation effort on his behalf. The Executive Director established a project management team to assist in organizing the overall effort and convened three Integrated Concept Teams and a Senior Steering Committee drawn from Federal, State, local, and tribal entities with significant roles in preparedness. They provided stakeholder input on how to design a system to meet HSPD-8 requirements for a coordinated national approach to strategy development, planning and resource allocation, execution, and feedback. Their input is guiding program offices in the Department of Homeland Security (DHS) in system development and implementation (see

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1 Section 5.2). The National Preparedness Goal (or Goal) is a product of the DHS project  
2 management team, working in coordination with Federal, State, local, and tribal stakeholders and  
3 the Homeland Security Council. It provides the means for the Nation to answer three  
4 fundamental questions: “*How prepared do we need to be?*”, “*How prepared are we?*”, and  
5 “*How do we prioritize efforts to close the difference?*”

## 6 **1.1 National Preparedness Vision**

7 The National Strategy for Homeland Security (National Strategy), issued in July 2002, identifies  
8 homeland security as a shared national responsibility. It emphasizes that State, local, and tribal  
9 governments share power with Federal institutions in an overlapping governance structure. Our  
10 combined efforts will be necessary to achieve a risk-based level of national capability to prevent  
11 terrorist attacks and respond to and recover from attacks and natural disasters that do occur to  
12 minimize the impact on lives, property, and the economy. The National Strategy states that the  
13 Nation must “*develop interconnected and complementary homeland security systems that are*  
14 *reinforcing rather than duplicative and that ensure essential requirements are met,*” and  
15 “*provide a framework to align the resources of the Federal budget directly to the task of*  
16 *securing the homeland.*” This is the vision that guides the National Preparedness Goal.  
17

18 Achieving this vision, establishing the first National Preparedness Goal and priorities, and  
19 implementing HSPD-8 initiatives constitute the creation of a National Preparedness System. The  
20 Goal and priorities will define and clarify the appropriate preparedness roles and responsibilities  
21 of Federal, State, local, and tribal entities. They will provide direction and guidance for Federal  
22 departments and agencies and strengthen preparedness partnerships with State, local, and tribal  
23 governments and the private sector to better support operational missions and more effectively  
24 contribute to the overarching national preparedness effort. They will establish performance  
25 objectives and measures to guide the Nation’s preparedness efforts. Finally, the Goal and  
26 priorities will aid us in allocating our resources and prioritizing our efforts to best implement this  
27 National Preparedness System.  
28

## 29 **1.2 National Preparedness Goal**

30 The National Preparedness Goal is:

31 **To achieve and sustain *capabilities* that enable the Nation to collaborate in successfully**  
32 **preventing terrorist attacks on the homeland, and rapidly and effectively responding to**  
33 **and recovering from any terrorist attack, major disaster, or other emergency that does**  
34 **occur to minimize the impact on lives, property, and the economy. This state of national**  
35 **preparedness will be achieved by reaching risk-based target levels of capability, and**  
36 **sustained by measuring readiness and directing resources to areas of greatest risk and**  
37 **need.**

38  
39 The National Preparedness Goal will guide the Nation in achieving its vision for preparedness.  
40 The Goal and national priorities will be achieved by Federal, State, local, and tribal entities  
41 working together to achieve and sustain the *capabilities* identified in the Target Capabilities List

---

1 (see Section 2.3). Information on how to define, measure and strengthen these capabilities will  
2 be provided in National Preparedness Guidance (March 2005).

3  
4 A core concept and principle of the National Incident Management System (NIMS) is that  
5 preparedness “*involves actions to establish and sustain prescribed levels of capability necessary*  
6 *to execute a full range of incident management operations.*” Preparing the Nation requires  
7 Federal, State, local and tribal entities to develop critical homeland security capabilities. Target  
8 levels of these capabilities will be defined for the full range of homeland security missions and  
9 will serve as a form of performance guidance (see Section 2.3). In order to achieve the Goal and  
10 priorities, requirements for critical capabilities are described in terms of the performance  
11 outcomes that the capabilities produce. Current capabilities will be measured against these  
12 performance targets (see Section 3.0). This common approach to assessment will allow officials  
13 at all levels of government to set priorities and allocate resources to close the difference between  
14 current capabilities and specified target levels of capabilities.

15  
16 National priorities support the imperative of the National Strategy for Homeland Security to  
17 “*make difficult choices about how to allocate resources against those risks that pose the greatest*  
18 *danger to our homeland.*” Full attainment of the national priorities is critical to the security of  
19 America. The six national priorities are to expand regional collaboration; implement the  
20 National Incident Management System (NIMS) and National Response Plan (NRP); implement  
21 the National Infrastructure Protection Plan (NIPP); strengthen chemical, biological, radiological,  
22 nuclear, and explosive (CBRNE) detection capabilities; strengthen interoperable  
23 communications capabilities; and strengthen medical surge capabilities. Federal, State, local,  
24 and tribal officials will be required to align their efforts to support the national priorities to the  
25 extent permitted by law. Information on how to align efforts will be provided in National  
26 Preparedness Guidance (March 2005).

27 Implementation of the Goal and the national priorities will be led by DHS with input and full  
28 participation from all levels of government (see Section 5.0). This approach will lead to a cycle  
29 of continuous improvement as Federal, State, local, and tribal entities assess their capabilities,  
30 develop unique combinations of resources to meet their assigned target levels of capability, and  
31 share best practices. The Goal establishes the first truly national approach to preparedness by  
32 encouraging alignment of efforts at all levels of government to achieve shared goals and  
33 priorities.

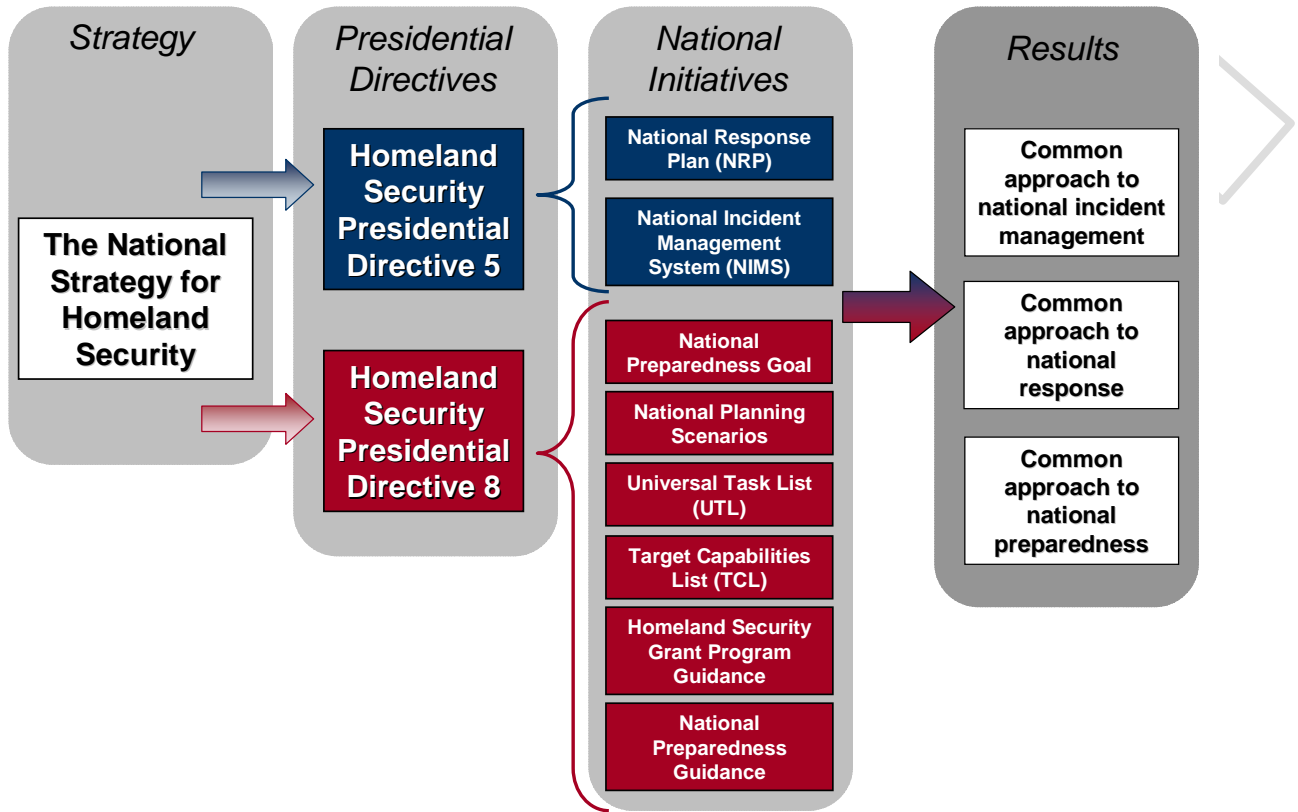
### 34 **1.3 Relationship to Other Documents**

35 In February 2003, the President issued Homeland Security Presidential Directive 5 (HSPD-5) on  
36 *Domestic Incident Management*. HSPD-5 requires DHS to lead a coordinated national effort  
37 with other Federal departments and agencies and State, local, and tribal governments to establish  
38 a National Response Plan (NRP) and National Incident Management System (NIMS). HSPD-8  
39 is a companion to HSPD-5. The NRP generally defines what needs to be done to manage a  
40 major incident and the NIMS generally defines how it needs to be done. The Goal defines how  
41 well it needs to be done and provides program solutions to help the Nation develop and maintain

1 the capabilities to prevent, respond to, and recover from major incidents as described in the NRP  
2 and NIMS (see Figure 1).

3  
4

**Figure 1: HSPD-8 in Context**



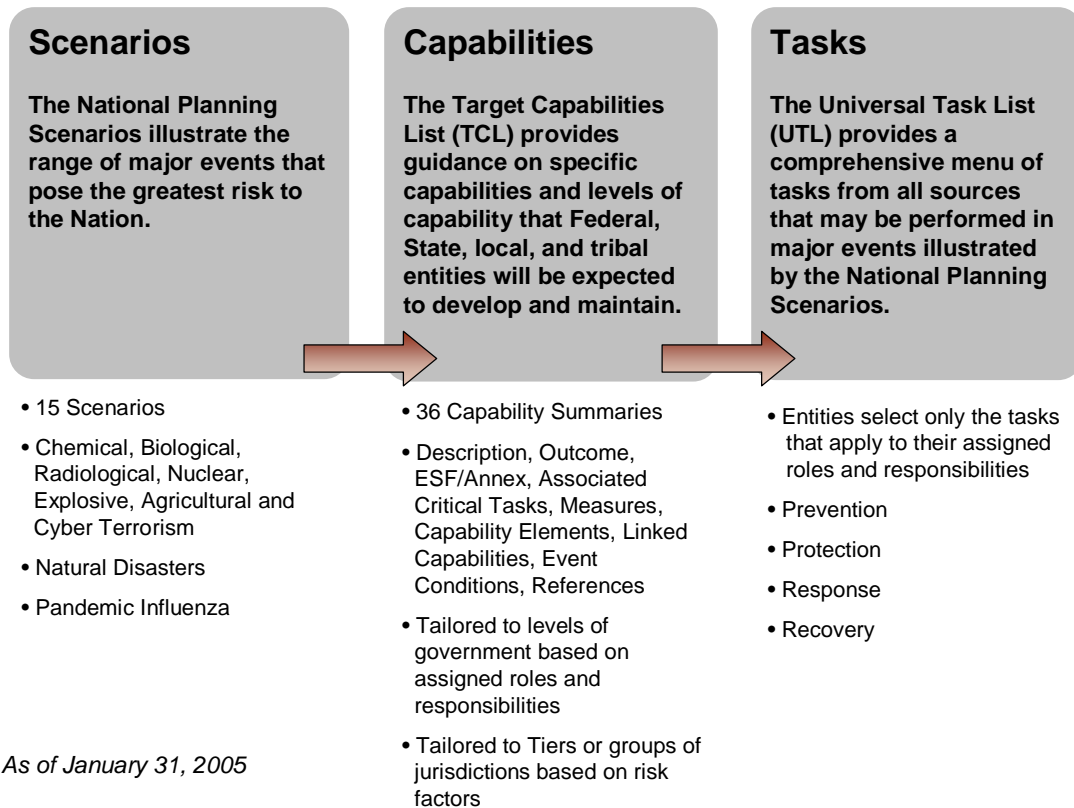
5

## 6 **2.0 DEFINING NATIONAL PREPAREDNESS**

7 NIMS defines preparedness as “the range of deliberate, critical tasks and activities necessary to  
8 build, sustain and improve the operational capability to prevent, protect against, respond to,  
9 and recover from domestic incidents.” HSPD-8 defines preparedness as “the existence of plans,  
10 procedures, policies, training, and equipment necessary at the Federal, State, and local level to  
11 maximize the ability to prevent, respond to, and recover from major events. The term  
12 ‘readiness’ is used interchangeably with preparedness.” HSPD-8 refers to preparedness for  
13 major events as “all-hazards preparedness.” It defines major events as “domestic terrorist  
14 attacks, major disasters, and other emergencies.” Preparedness supports all operational  
15 missions, from prevention to recovery. Those operational missions can be broken down into  
16 tasks. Defining national preparedness involves identifying the potential range of major events,  
17 the tasks that would be critical, and the capability requirements to perform those tasks to  
18 effective levels (see Figure 2).



**Figure 2: Defining National Preparedness**



2  
3

## 2.1 Scenarios

4 We must prepare for the next major event, not the last one. The high degree of uncertainty  
5 associated with homeland security threats and hazards requires adoption of a risk-based approach  
6 to structure the Goal. While much preparedness applies across the all-hazards spectrum, the  
7 National Strategy attaches special emphasis to preparing for catastrophic threats with the greatest  
8 risk of mass casualties, massive property loss, and immense social disruption.

9

10 To address this requirement, the Homeland Security Council convened a Federal interagency  
11 working group to develop National Planning Scenarios. The fifteen scenarios illustrate a  
12 plausible range of major events, including terrorist attacks, major disasters, and other  
13 emergencies, that pose the greatest risk to the Nation. The scenarios are not intended to be  
14 exhaustive or predictive. Scenarios such as these have been in widespread use since 1995, when  
15 Presidential Decision Directive-39, “*U.S. Policy on Counterterrorism*,” directed a review of  
16 Federal capabilities to respond to the consequences of acts of terrorism involving weapons of  
17 mass destruction (WMD), and the Nunn-Lugar-Domenici Domestic Preparedness Program was  
18 established to provide WMD training, exercises, and equipment to major metropolitan areas.

---

1 The National Planning Scenarios provide a wide range of representative threats and hazards.  
2 Catastrophic WMD scenarios predominate since they present the gravest threat to our national  
3 interests and generally require capabilities for which the Nation is currently the least prepared.  
4 Catastrophic natural disasters and an outbreak of pandemic influenza are also included. The  
5 scenarios will be updated as warranted by changes in the homeland security strategic  
6 environment. The National Planning Scenarios should be used by entities at all levels of  
7 government as a reference to help identify the critical tasks and capabilities that would be  
8 required from all sources in a coordinated national effort to manage major events. Summaries  
9 are available on the ODP Secure Portal (<https://odp.esportals.com>).

10  
11 Managing the risk posed by major events illustrated by the National Planning Scenarios is  
12 imperative. It is impossible to maintain the highest level of preparedness for all scenarios all the  
13 time. A risk-based approach includes the use of a Capabilities-Based Planning process.  
14 Capabilities-Based Planning is defined as planning, under uncertainty, to provide capabilities  
15 suitable for a wide range of threats and hazards while working within an economic framework  
16 that necessitates prioritization and choice. Capabilities-Based Planning is all-hazards planning.  
17 The effect of uncertainty on the risk equation can be reduced by focusing our efforts on  
18 identifying and developing the critical capabilities to perform the critical tasks for the fifteen  
19 scenarios. The National Planning Scenarios provide common planning factors in terms of the  
20 potential scope, magnitude, and complexity of major events that will help to determine the target  
21 levels of capability required and apportion responsibility among all potential partners.  
22 Developing appropriate capabilities to address this range of scenarios will best prepare the  
23 Nation for terrorist attacks, major disasters, and other emergencies.

## 24 25 **2.2 Tasks**

26 The Universal Task List (UTL) provides a comprehensive menu of tasks from all sources that  
27 may be performed in major events illustrated by the National Planning Scenarios. Federal, State,  
28 local, and tribal entities select only the tasks that apply to their assigned roles and  
29 responsibilities. The UTL describes “*what*” tasks need to be performed. Federal, State, local,  
30 and tribal entities reserve the flexibility to determine “*who*” needs to perform them and “*how*” to  
31 perform them. Critical tasks are defined as those prevention, protection, response, and recovery  
32 tasks that must be performed during a major event to prevent occurrence, reduce loss of life or  
33 serious injuries, mitigate significant property damage, are essential to the success of a homeland  
34 security mission, and require coordination among an appropriate combination of Federal and  
35 State, local, and tribal entities. Critical tasks, with associated conditions and performance  
36 standards, provide the foundation for developing target levels of capability. Over time, the UTL  
37 will be updated to include a list of conditions derived from the National Planning Scenarios.  
38 Conditions are variables of the operating environment that affect performance of tasks, such as  
39 the terrain, weather, presence of an adversary, and complexity of multi-agency relationships.  
40 Conditions are only relevant if they affect the way to train, organize, and equip personnel to  
41 perform the tasks. The UTL will also include performance measures and criteria associated with  
42 each task. The measures and criteria should be used as a guide to define performance standards,  
43 consistent with mission requirements. Standards, when linked to conditions, provide a basis for  
44 planning, conducting, and evaluating operations as well as training and exercises.

---

1 The UTL should be used by entities at all levels of government as a reference to help them plan,  
2 organize, equip, train, exercise, and evaluate personnel for the critical tasks that they may need to  
3 perform in major events that could occur across town or across the Nation. The UTL is being  
4 developed with subject-matter experts from all levels of government, drawing on existing  
5 sources wherever possible. The current version is available on the ODP Secure Portal  
6 (<https://odp.esportals.com>).

### 7 8 **2.3 Capabilities**

9 The Target Capabilities List (TCL) provides guidance on the specific capabilities and levels of  
10 capability that Federal, State, local, and tribal entities will be expected to develop and maintain.  
11 Capability definitions are general and expressed in terms of operational outcomes and essential  
12 characteristics. The TCL currently identifies 36 critical capabilities (see Figure 3).

13  
14 **Figure 3: Critical Capabilities**

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

*as of January 31, 2005*

15  
16 A capability provides the means to perform one or more tasks under specific conditions and to  
17 specific performance standards. A capability may be delivered with any combination of properly  
18 planned, organized, equipped, trained, and exercised personnel that achieves the intended

1 outcome. Levels of capabilities are defined, measured, and improved using these widely  
2 accepted elements of capability (see Figure 4).

3 **Figure 4: Elements that Comprise a Capability**

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

4  
5 While many capabilities are common to most, if not all, scenarios, conditions and performance  
6 standards can vary significantly across scenarios. Over time, the TCL will define the consistent  
7 measurable outcomes and levels of capability that we want to collectively develop and maintain  
8 as a Nation for *all* scenarios.

9  
10 Capabilities may take years to develop and maintain. The need to build national capability to  
11 manage the risks posed by major events illustrated by the National Planning Scenarios requires  
12 us to share responsibility and count on every entity to do their part to develop and maintain  
13 capabilities that we will all need to draw upon in time of emergency:

- 14  
15 ■ *Apportioning responsibility among levels of government.* Responsibility to develop and  
16 maintain capabilities using Federal funding will be apportioned among Federal, State,  
17 local, and tribal governments based on their statutory authorities, roles and  
18 responsibilities. HSPD-8 recognizes that State, local, and tribal governments have  
19 primary responsibility to build capability and capacity for “*normal local first responder*  
20 *operations.*” HSPD-8 defines the primary Federal interest in providing Federal  
21 preparedness assistance to State and local entities, which is to build capacity for major  
22 events, especially prevention of and response to threatened terrorist attacks. HSPD-8 also  
23 defines the primary Federal responsibility in maintaining specialized Federal assets for  
24 activities as set forth in the National Response Plan (NRP). In apportioning requirements,  
25 consideration will be given to factors such as required response time, cost to acquire and  
26 maintain, projected frequency of use, degree of specialization, and need for lead time for  
27 research and development.

- 
- 1       ▪ *Apportioning responsibility among groups of jurisdictions.* The TCL is not “one size fits  
2 all.” Both the risk and the resource base vary considerably among jurisdictions across the  
3 United States. Therefore, the TCL will be organized by Tiers. Tiers are classes of  
4 jurisdictions. Their primary purpose is to account for reasonable differences in target  
5 levels of capability among groups of jurisdictions based on characteristics such as total  
6 population, population density, and critical infrastructure. The secondary purpose is to  
7 strengthen mutual aid among neighboring jurisdictions assigned to the same group. State,  
8 local, and tribal officials will be able to group jurisdictions as they deem appropriate to fit  
9 into the standard Tiers. Interstate groups will be encouraged.

10  
11 The TCL meets the requirement in HSPD-8 to establish “*measurable readiness targets ...that*  
12 *appropriately balance the potential threat and magnitude of terrorist attacks, major disasters,*  
13 *and other emergencies with the resources required to prevent, respond to, and recover from*  
14 *them.*” It should be used by entities at all levels of government as a reference to help them  
15 assess whether they are able to deliver the capabilities for which they are responsible (entities are  
16 not responsible for all capabilities); to determine how their capabilities contribute to national  
17 readiness; and finally, to guide planning, programming, and budgeting. The TCL is being  
18 developed with Federal, State, and local subject-matter experts and draws on existing sources  
19 wherever possible. The current version of the Target Capabilities List is available on the ODP  
20 Secure Portal (<https://odp.esportals.com>).

### 21       **3.0     ASSESSING NATIONAL PREPAREDNESS**

23 Comparing current capabilities to target levels of capabilities will enable Federal, State, local,  
24 and tribal entities to assess their overall preparedness to prevent, protect against, respond to, and  
25 recover from major events illustrated by the National Planning Scenarios. This common  
26 approach to assessment will enable us to answer the questions: “*How prepared are we?*” and  
27 “*How prepared do we need to be?*” Comparisons will reveal “*gaps*” (where a capability does  
28 not exist); “*excesses*” (where unneeded redundancy exists or a specific capability is no longer  
29 needed); and “*deficiencies*” (where a capability exists, but is insufficient to meet the target level  
30 of capability). This standardized approach provides a consistent way to assess needs, define  
31 priorities, and allocate resources to have the greatest impact on preparedness and achieve the  
32 Goal and national priorities. Data will be collected through self-assessment, peer-assessment,  
33 compliance monitoring, and independent evaluation, and compiled into an overall assessment.  
34 Senior officials at each level of government are ultimately accountable for assessing  
35 preparedness. They are best positioned to understand that assessment data may not be all-  
36 encompassing and that other factors weigh into the preparedness equation. They will retain the  
37 authority, responsibility, and discretion to provide additional evidence or information to the  
38 overall assessment for their respective entity. This preserves and respects the flexibility of State,  
39 local, and tribal authorities, who are most familiar with and have the best insight into their  
40 homeland security needs, while ensuring accountability for everyone's role in national  
41 preparedness.

### 42       **3.1     Standards and Metrics**

---

1 HSPD-8 requires the development of standards and metrics to assess capability elements (e.g.,  
2 personnel, plans, organizations, equipment, training, and exercises), performance of tasks or  
3 groups of tasks, and overall preparedness of a jurisdiction or group of jurisdictions.  
4 Governmental and nongovernmental standards-making bodies are adapting or developing  
5 nationally-accepted rules, principles, and measures for required standards. The NIMS  
6 Integration Center and DHS Science and Technology Directorate are key partners in  
7 coordinating this national effort and providing data.

8 Nationally accepted performance standards will be used where available. When required,  
9 standards will be developed or modified to describe attributes (i.e., availability, efficiency, and  
10 effectiveness) and ensure that all elements of a capability (e.g., personnel, planning, organization  
11 and leadership, equipment, training, and exercises, evaluations, and corrective actions) are  
12 considered. Standards will be clear, reliable, actionable, and simple to collect and analyze.

13  
14 The TCL includes a statement for each capability of the *expected outcome* resulting from the  
15 performance of one or more critical tasks, under specified conditions and to national standards.  
16 It identifies *capability measures* to assess whether a jurisdiction has the capability in place to  
17 perform the critical tasks associated with the capability. Finally, it includes *performance*  
18 *measures*, both qualitative and quantitative, to assess the demonstration of the capability through  
19 the performance of the critical tasks during an event or an exercise. These measures will be used  
20 as decision support tools to enable Federal, State, local, and tribal entities to assess progress  
21 toward achieving or exceeding the target levels of capability and priorities identified in the Goal.

### 22 **3.2 Annual National Reporting**

23 HSPD-8 requires the Secretary of Homeland Security to provide the President with “*an annual*  
24 *status report of the Nation’s level of preparedness, including State capabilities, the readiness of*  
25 *Federal civil response assets, the utilization of mutual aid, and an assessment of how the Federal*  
26 *first responder preparedness assistance programs support the national preparedness goal. The*  
27 *first report will be provided within 1 year of establishment of the national preparedness goal.*”  
28

29 Reporting on the status of national readiness entails synthesizing a high volume and many  
30 different types of data. To represent national readiness in an understandable and meaningful way,  
31 the annual report will employ scorecard and other visualization methodologies. The next  
32 comprehensive statewide assessments are currently planned to begin in fiscal year 2006; results  
33 will be reflected in the annual report to the President submitted in fiscal year 2008. Annual  
34 reports prior to fiscal year 2008 will focus on the national priorities, analysis of available  
35 readiness data, and selective sampling on progress for the most critical tasks and capabilities.  
36 Instructions regarding data collection will be provided in the National Preparedness Guidance  
37 (March 2005).  
38

## 39 40 **4.0 SETTING NATIONAL PRIORITIES**

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1 The Nation cannot immediately achieve all of the target capabilities identified for the National  
2 Preparedness Goal. Federal, State, local, and tribal entities must continue to fulfill their ongoing  
3 operational missions for homeland security and public safety even as they prepare for potential  
4 major events. Accordingly, the Goal provides national priorities to guide the Nation’s  
5 preparedness efforts. National priorities meet the requirement in HSPD-8 to establish  
6 “*measurable readiness priorities ... that appropriately balance the potential threat and*  
7 *magnitude of terrorist attacks, major disasters, and other emergencies with the resources*  
8 *required to prevent, respond to, and recover from them.*” The national priorities will  
9 significantly advance our homeland security objectives and enable the Nation to meet the  
10 dynamic challenges posed by the war against terrorism and by response to major disasters and  
11 other emergencies.

12  
13 The national priorities have been established in consultation with the Homeland Security Council,  
14 based on review of national strategies and directives and statewide homeland security strategies.  
15 The priorities have been selected in keeping with the risk-based approach necessary to cope with  
16 the uncertainty inherent in homeland security threats and hazards. The priorities have also been  
17 identified based on their relevance to national strategic objectives and utility in terms of high  
18 payoff contributions to national readiness. As comprehensive baseline assessments of current  
19 capabilities across the Nation are completed, target levels of capability are achieved, and the  
20 strategic homeland security environment changes, these national priorities will be updated or  
21 refined.

22  
23 The priorities fall into two categories: “cross-cutting” priorities that contribute to development  
24 of multiple capabilities, and priorities that build specific capabilities for which the Nation has the  
25 greatest need. Performance objectives and measures for the national priorities will be provided  
26 in National Preparedness Guidance (March 2005).

27  
28 The national priorities are:

- |   |
|---|
| <p>29   ▪ <b>Expand regional collaboration.</b></p> <p>30</p> <p>31   ▪ <b>Implement the National Incident Management System and National Response Plan.</b></p> <p>32</p> <p>33   ▪ <b>Implement the National Infrastructure Protection Plan.</b></p> <p>34</p> <p>35   ▪ <b>Strengthen CBRNE detection capabilities.</b></p> <p>36</p> <p>37   ▪ <b>Strengthen interoperable communications capabilities.</b></p> <p>38</p> <p>39   ▪ <b>Strengthen medical surge capabilities.</b></p> <p>40</p> |
|---|

41 **4.1 Expand Regional Collaboration**

---

1 **National Priority:** Expand regional collaboration through mutual aid agreements and assistance  
2 compacts in order to use our finite resources to meet the target levels of capability in the most  
3 effective and expedient manner.  
4

5 **Discussion:** A key tenet of the National Preparedness Goal is collaboration. Major events,  
6 especially terrorism, will invariably have regional impact, and prevention, protection, response  
7 and recovery missions will require extensive regional collaboration. The National Academy of  
8 Public Administration (NAPA) recommends that intergovernmental relations for homeland  
9 security should be viewed as overlapping networks serving diverse functions. Networks are  
10 based on linkages and inter-relationships, rather than on hierarchical layers. Networks, in  
11 contrast to traditional hierarchical models, tend to be flexible and highly adaptive when  
12 necessary—exactly the qualities that are likely to be effective in preparing for and responding to  
13 unpredictable terrorist attacks, natural disasters, and other emergencies.  
14

15 Our homeland security fundamentally depends upon our commitment to secure those geographic  
16 areas that are of the highest interest to our enemies and of the highest concern to our country. It  
17 is vital to increase efforts by State, local, and tribal entities to communicate, to coordinate, and to  
18 plan with one another, particularly where they are in close proximity to each other. While  
19 disagreements may occur regarding the actual portion of financial investment that should be  
20 provided by each level of government and on the distribution of the Federal investment among  
21 jurisdictions across the country, we all agree that our financial investments should first secure  
22 those areas most at risk of a terrorist attack. We must prioritize our investments so that those  
23 high-risk areas are as secure as we can make them as soon as possible.  
24

25 Successful regional approaches, such as the Urban Areas Security Initiative (UASI), allow  
26 regions to coordinate planning and protection, spread costs, and share risk, thereby increasing the  
27 return on preparedness investments.<sup>1</sup> This priority targets expanding mutual aid and assistance  
28 compacts among contiguous State, local, and tribal entities located in whole or in part within a  
29 designated planning radius of a core high-threat urban area. The intent is to maximize coverage  
30 of the U.S. population and the Nation’s high priority critical infrastructure. These areas should  
31 provide reasonable planning boundaries for the potential effects identified in the National  
32 Planning Scenarios.  
33

34 Establishing regional prevention frameworks that are linked in a national network will also  
35 facilitate efforts to achieve target capabilities. An effective regional prevention framework  
36 enables all levels of government to collaborate across the target capabilities for criminal  
37 investigation and intervention, information collection and threat recognition, information sharing  
38 and collaboration, and intelligence fusion and analysis. The capabilities must be addressed in the  
39 context of organizations at all levels of government working together to identify unique sources,  
40 threats, vulnerabilities, risks, and available resources.  
41

---

<sup>1</sup> As used in this document, “*region*” generally refers to the geographic area consisting of the contiguous State, local, and tribal entities located in whole or in part within a designated planning radius of a core high threat urban area. The precise boundaries of a region are self-defined.



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1 The National Preparedness Guidance will encourage adoption of this approach to expanded  
2 regional collaboration. In future years, expanded regional collaboration will be required to  
3 receive Federal grant funds.

#### 4 5 **4.2 Implement the National Incident Management System and National Response Plan**

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

8  
9 **Discussion:** HSPD-5, “*Management of Domestic Incidents*,” mandated the creation of the  
10 National Incident Management System (NIMS) and National Response Plan (NRP). The NIMS  
11 provides a consistent framework for entities at all jurisdictional levels to work together to  
12 manage domestic incidents, regardless of cause, size, or complexity. To promote interoperability  
13 and compatibility among Federal, State, local, and tribal capabilities, NIMS includes a core set of  
14 guidelines, standards, and protocols for command and management, preparedness, resource  
15 management, communications and information management, supporting technologies, and  
16 management and maintenance of NIMS. The NRP, using the template established by the NIMS,  
17 is an all-discipline, all-hazards plan that provides the structure and mechanisms to coordinate  
18 operations for evolving or potential Incidents of National Significance. Incidents of National  
19 Significance are major events that require a coordinated and effective response by an appropriate  
20 combination of Federal, State, local, tribal, private sector, and nongovernmental entities. The  
21 National Preparedness Goal enables entities across the Nation to more easily pinpoint  
22 capabilities that need improvement and develop and maintain capabilities at levels needed to  
23 manage major events using the NRP and NIMS.

#### 24 25 **4.3 Implement the National Infrastructure Protection Plan**

26 **National Priority:** Implement the National Infrastructure Protection Plan in order to enhance  
27 coordinated development of critical infrastructure capabilities.

28  
29 **Discussion:** HSPD-7, “*Critical Infrastructure Identification, Prioritization, and Protection*,”  
30 directed DHS to identify, prioritize, and coordinate the protection of critical infrastructure and  
31 key resources with an emphasis on critical infrastructure and key resources that could be  
32 exploited to cause catastrophic health effects or mass casualties comparable to those from the use  
33 of a weapon of mass destruction. Critical infrastructure includes the following sectors:  
34 information technology; telecommunications; chemical; transportation systems, including mass  
35 transit, aviation, maritime, ground/surface, and rail and pipeline systems; emergency services;  
36 and postal and shipping. Key resources include dams, government facilities, and commercial  
37 facilities. In addition, in its role as overall cross-sector coordinator, DHS shall also evaluate the  
38 need for and coordinate the coverage of additional critical infrastructure and key resources  
39 categories over time, as appropriate.

40  
41 HSPD-7 requires the Secretary of Homeland Security to produce a comprehensive, integrated  
42 National Infrastructure Protection Plan (NIPP) to outline national goals, objectives, milestones,  
43 and key initiatives for critical infrastructure protection. An Interim NIPP was issued in February

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1 2005. Protection of critical infrastructure requires knowledge of terrorist tactics and targets,  
2 combined with a comprehensive understanding of vulnerabilities and the protective measures  
3 that can effectively eliminate or mitigate those vulnerabilities. However, even with all of the  
4 resources of the United States, it is not possible to protect all assets against every possible type of  
5 terrorist attack. The Nation’s critical infrastructure protection program must prioritize protection  
6 across sectors, so that resources are applied where they offer the most benefit for reducing  
7 vulnerability, deterring threats, and minimizing consequences of attacks. This is an effort that  
8 requires the integrated, coordinated support of Federal departments and agencies; State, local,  
9 and tribal entities; and public and private sector asset owners and operators. The Interim NIPP is  
10 based upon a risk management framework that takes into account threats, vulnerabilities, and  
11 consequences when prioritizing protection activities. It provides an integrated, comprehensive  
12 approach to addressing physical, cyber, and human threats and vulnerabilities to address the full  
13 range of risks to the Nation. The Interim NIPP is the Base Plan that provides the framework and  
14 sets the direction for implementing this coordinated, national effort. It provides a roadmap for  
15 identifying assets, assessing vulnerabilities, prioritizing assets, and implementing protection  
16 measures in each infrastructure sector. For each sector, the NIPP will delineate roles and  
17 responsibilities among Federal, State, local, tribal, and private sector stakeholders in carrying out  
18 these activities, with DHS as the lead agency and single point of accountability and coordination.

19  
20 The DHS Information Analysis and Infrastructure Protection Directorate and its Federal, State,  
21 local, tribal and private sector partners are actively engaged in a long-term effort to implement  
22 the NIPP and identify, prioritize, and protect critical infrastructure and key resources across the  
23 Nation. Efforts under HSPD-8 will support and complement HSPD-7 efforts.

#### 24 25 **4.4 Strengthen CBRNE Detection Capabilities**

26 **National Priority:** Strengthen capabilities for detection of chemical, biological, radiological-  
27 nuclear and explosive (CBRNE) materials.

28  
29 **Discussion:** This priority focuses on CBRNE detection, which is an important component of the  
30 information collection and threat recognition capability of the Target Capabilities List. The  
31 Target Capabilities List identifies four prevention-oriented capabilities: criminal investigation  
32 and intervention, information collection and threat recognition, information sharing and  
33 collaboration, and intelligence fusion and analysis.

34  
35 Since the potential number of terrorist targets is so large and the threats and means of delivery so  
36 varied, the Nation must develop a layered defense against weapons of mass destruction (WMD)  
37 through deployment of systems that ensure early detection of the presence, import, transport, or  
38 manufacture of CBRNE materials. An effective detection infrastructure must deploy appropriate  
39 and uniform detection and measurement systems that are low-cost, robust, highly sensitive, and  
40 extremely reliable. These defenses must include systems for both rapid detection and rapid  
41 authentication and verification of the identity and quantity of CBRNE materials. By their nature,  
42 these materials differ in detection and characterization methodologies. The difficulty of  
43 detection may also be compounded by the dispersal of materials, facilities, and activities.  
44 Establishing large-scale detection networks is technically daunting and a potentially expensive

---

1 proposition. While significant investments and advances have been made, this priority  
2 challenges the state of the art. But incremental progress, such as deployment of well-designed  
3 systems to selected points to detect materials before use, or to rapidly detect and characterize an  
4 attack, will be a powerful component of the layered homeland security system.  
5

6 Implementing this national priority will require analysis of current capabilities, development of  
7 concepts of operations and architectures for detection technology and measurement system  
8 employment, and determination of how the technologies and systems will be integrated and  
9 synchronized with others in a national “system of systems.” Interoperability will be addressed  
10 through assessment of key interfaces and development and adoption of prescribed standards for  
11 equipment, training and operations. Intelligence, information sharing, and spectrum  
12 supportability requirements will be addressed to ensure continuous awareness and timely and  
13 effective action, reach back capabilities, and to make effective use of information generated by  
14 these systems, as well as to provide information to these systems. Resources will be identified  
15 that will be applied to achieve both initial and full operational capabilities. The concept of  
16 operations and architecture will address who will receive, employ and support the detection  
17 technologies and measurement systems, and development of operational procedures and training  
18 and support requirements. This national priority leverages efforts throughout government to  
19 develop robust capabilities to detect, neutralize, contain, dismantle, and dispose of CBRNE  
20 materials.  
21

#### 22 **4.5 Strengthen Interoperable Communications Capabilities**

23 **National Priority:** Strengthen emergency response communications capabilities to enable  
24 personnel from different disciplines and jurisdictions to communicate effectively during major  
25 events.  
26

27 **Discussion:** The Target Capabilities List identifies a capability for emergency response  
28 communications. Emergency response communications is the capability to provide  
29 uninterrupted flow of critical information among responding multi-disciplinary and multi-  
30 jurisdictional agencies at all levels of government. Communications interoperability underpins  
31 the ability of Federal, State, local, and tribal entities to work together effectively to prevent,  
32 protect against, respond to and recover from terrorist attacks, major disasters, and other  
33 emergencies. Analysis of State and Urban Area Homeland Security Strategies, in addition to a  
34 number of reports on the status of interoperable communications and information sharing,  
35 illustrate persistent shortfalls in achieving communications interoperability. Specifically, State  
36 and local authorities continue to emphasize the need for statewide interoperable communications  
37 plans, a national architecture that identifies communications requirements and technical  
38 standards, and a national database of interoperable communications frequencies. Achieving  
39 interoperable communications and creating effective mechanisms for sharing information are  
40 long term enterprises that will require Federal leadership and collaborative, interdisciplinary, and  
41 intergovernmental planning.

#### 42 **4.6 Strengthen Medical Surge Capabilities**

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1 **National Priority:** Strengthen medical surge capabilities by establishing emergency-ready  
2 public health and healthcare entities.

3  
4 **Discussion:** The Target Capabilities List identifies eight health and medical capabilities:  
5 fatality management, isolation and quarantine, mass prophylaxis and vaccination, medical  
6 supplies management and distribution, medical surge, pre-hospital triage and treatment, public  
7 health epidemiological investigation and laboratory testing, and worker health and safety. One  
8 primary means for achieving medical surge capabilities is to establish emergency-ready public  
9 health and healthcare services in every community.

10  
11 The Public Health Security and Bioterrorism Preparedness and Response Act of 2002 addresses  
12 the need to enhance public health and healthcare readiness for bioterrorism and other public  
13 health emergencies. Also, as envisioned in the NRP and HSPD-10, “*Biodefense for the 21st*  
14 *Century*,” the Nation needs to strengthen the capabilities of the Federal government to assist and  
15 augment State, local, and tribal emergency response efforts as necessary – especially in  
16 responding to mass casualty incidents.

## 17 18 **5.0 IMPLEMENTING THE GOAL AND PRIORITIES**

19 Sharing responsibility for national preparedness requires Federal, State, local, and tribal entities  
20 to realign their strategies, programs, and efforts to support the National Preparedness Goal and  
21 priorities. The intent of Goal is to achieve the national preparedness vision of developing  
22 interconnected and complementary national homeland security systems. Many of the  
23 requirements established in the Goal and priorities are already addressed in Federal, State, local  
24 and tribal preparedness strategies and programs, which will continue to be developed and  
25 executed by the appropriate entities. Implementation of the Goal and priorities will be led by  
26 DHS with input and full participation from entities at all levels of government. This process  
27 will be outlined in the National Preparedness Guidance (March 2005).

### 28 **5.1 National Preparedness Guidance**

29 National Preparedness Guidance meets the requirement in HSPD-8 for “*standards for*  
30 *preparedness assessments and strategies.*”

31 To the extent permitted by law, requirements in existing Federal programs will be realigned to  
32 support and be consistent with the National Preparedness Goal and priorities, including statewide  
33 strategies, first responder preparedness assistance, first responder equipment standards and  
34 research and development efforts, a national training program, the national exercise program,  
35 Federal performance measurements, relevant Federal regulatory requirements, maintenance of  
36 specialized Federal assets, and an annual status report on the Nation’s level of preparedness.  
37 Preparedness strategies and programs that will be required to support and be consistent with the  
38 National Preparedness Goal and priorities are also required to comply with the NIMS and help to  
39 build the capabilities needed to implement the NRP.

---

1 DHS is developing detailed National Preparedness Guidance (March 2005) in coordination with  
2 Federal, State, local, and tribal entities that provides detailed how-to instructions and templates  
3 for entities to use in the development and update of preparedness strategies and assessments. To  
4 the extent permitted by law, preparedness strategies will be required to support and be consistent  
5 with the National Preparedness Goal as a condition for receiving Federal preparedness funding  
6 by September 30, 2005. The current variety of assessments, surveys, and data calls levied on  
7 Federal, State, local, and tribal entities will be realigned over time to measure progress on  
8 achieving the Goal and priorities. Those that are redundant or that do not contribute to the Goal  
9 and priorities will be carefully scrutinized for potential consolidation or elimination. As  
10 necessary and to the extent permitted by law, Federal regulatory requirements will be modified  
11 to support the Goal and priorities. DHS will provide additional information about these changes  
12 in grant guidance, information bulletins, and through other forums.

## 13 **5.2 National Preparedness System**

14 Achieving the National Preparedness Goal and priorities requires entities at all levels of  
15 government to work in a unified and coordinated manner. The Goal provides the foundation for  
16 a National Preparedness System to establish interconnected and complementary programs under  
17 a common approach. This System will provide the tools and processes to realign existing  
18 preparedness programs and efforts to support the National Preparedness Goal and enhance  
19 operational preparedness.

20  
21 The System has four main components. Each provides opportunities for entities at all levels of  
22 government to work together. Many actions will be concurrent. They are described sequentially  
23 for ease of understanding:

- 24 • **Strategic Direction**, which involves development of the National Preparedness Goal and  
25 priorities, including the National Planning Scenarios, Universal Task List, and Target  
26 Capabilities List; issuance of National Preparedness Guidance; and update of Federal,  
27 State, local, and tribal preparedness strategies as appropriate to support the Goal.
- 28 • **Planning and Resource Allocation**, which involves Capabilities-Based Planning to  
29 assess needs, allocate resources, and deliver programs that build capabilities that are  
30 prioritized to manage the risks that pose the greatest threat to the Nation.
- 31 • **Execution**, which involves demonstration of capability through training, exercises, and  
32 evaluation to identify lessons learned, share best practices, and initiate improvements.
- 33 • **Feedback**, which involves assessment and reporting on progress and effectiveness of  
34 efforts throughout the system to achieve the National Preparedness Goal and priorities.

35 This System will be described in detail in the National Preparedness Guidance (March 2005).  
36  
37

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1 **6.0 CONCLUSION**

2 Preparedness is a shared national responsibility. We live in a world transformed by the attacks  
3 on September 11, 2001. The 9/11 Commission wrote that “a *rededication to preparedness is*  
4 *perhaps the best way to honor the memories of those we lost that day.*” Because it is impossible  
5 to maintain the highest level of preparedness for all scenarios all the time, we must manage risk  
6 by developing capabilities that are suitable for a wide range of threats and hazards while working  
7 within an economic framework that necessitates prioritization and choice. The National  
8 Preparedness Goal and priorities provide the means for the Nation to prevent terrorist attacks and  
9 respond to and recover from terrorist attacks, major disasters, and other emergencies that do  
10 occur through a national preparedness system that enables Federal, State, local and tribal entities  
11 to achieve and sustain risk-based target levels of capability. Our dedication to achieving this  
12 Goal is as critical to our Nation’s security and freedom as those many moments in our Nation’s  
13 long history where Americans did more than they were asked and left the foundation of our great  
14 country stronger and shining its beacon more brightly. One Goal, one Nation.

15  
16



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## 1 APPENDIX A—TERMS AND DEFINITIONS

2 **All-Hazards.** (Source—Based on HSPD-8, see Appendix C)

3 **Capability.** A capability provides the means to accomplish one or more tasks under specific  
4 conditions and to specific performance standards. A capability may be delivered with any  
5 combination of properly planned, organized, equipped, trained, and exercised personnel that  
6 achieves the intended outcome.

7 **Critical Task.** Critical tasks are defined as those prevention, protection, response, and recovery  
8 tasks that must be performed during a major event to prevent occurrence, reduce loss of life or  
9 serious injuries, mitigate significant property damage, are essential to the success of a homeland  
10 security mission, and require coordination among an appropriate combination of Federal and  
11 State, local, and tribal entities.

12 **Emergency.** Absent a Presidentially declared emergency, any incident(s), human-caused or  
13 natural, that requires responsive action to protect life or property. Under the *Robert T. Stafford*  
14 *Disaster Relief and Emergency Assistance Act*, an emergency means any occasion or instance for  
15 which, in the determination of the President, Federal assistance is needed to supplement State  
16 and local efforts and capabilities to save lives and to protect property and public health and  
17 safety, or to lessen or avert the threat of a catastrophe in any part of the United States. (Source—  
18 NIMS, March 2004)

19 **Emergency Response Provider.** Includes Federal, State, local, and tribal emergency public  
20 safety, law enforcement, emergency response, emergency medical (including hospital emergency  
21 facilities), and related personnel, agencies, and authorities. (See section 2(6), Homeland Security  
22 Act of 2002, Public Law 107-296, 116 Stat. 2135 (2002).) Also known as Emergency  
23 Responder. (Source—NIMS, March 2004)

24 **Federal departments and agencies.** (Source—HSPD-8, see Appendix C)

25 **First responder.** (Source—HSPD-8, see Appendix C)

26 **Incident of National Significance.** Based on criteria established in HSPD-5 (paragraph 4), an  
27 actual or potential high-impact event that requires a coordinated and effective response by an  
28 appropriate combination of Federal, State, local, tribal, nongovernmental, and/or private sector  
29 entities in order to save lives and minimize damage, and provide the basis for long-term  
30 community and economic recovery. (Source—NRP, January 2005)

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

35 **Local Government.** Local means “(A) a county, municipality, city, town, township, local  
36 public authority, school district, special district, intrastate district, council of governments

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1 (regardless of whether the council of governments is incorporated as a nonprofit corporation  
2 under State law), regional or interstate government entity, or agency or instrumentality of a local  
3 government; (B) an Indian tribe or authorized tribal organization, or in Alaska a Native village  
4 or Alaska Regional Native Corporation; and (C) a rural community, unincorporated town or  
5 village, or other public entity.” (Source—Homeland Security Act of 2002)

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

15 **Major Event.** (Source—HSPD-8, see Appendix C)

16 **National.** Of a nationwide character, including the Federal, State, local and tribal aspects of  
17 governance and polity. (Source –NIMS, March 1, 2004)

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

20  
21 **Performance measure.** A quantitative or qualitative characteristic used to gauge the results of  
22 an outcome compared to its intended purpose (e.g. percentage, time, or amount).

23 **Performance metric.** A particular value or characteristic used to measure the outcome (e.g.,  
24 “100,” “25,” or “partially”) that is generally expressed in terms of a baseline and a target.

25  
26 **Preparedness.** (Source—HSPD-8, see Appendix C)

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

36 **Recovery.** The development, coordination, and execution of service- and site-restoration plans,  
37 the reconstitution of government operations and services; individual, private-sector,  
38 nongovernmental, and public assistance programs to provide housing and promote restoration;  
39 long-term care and treatment of affected persons; additional measures for social, political,



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1 environmental, and economic restoration; evaluation of the incident to identify lessons learned;  
2 post incident reporting; and development of initiatives to mitigate the effects of future incidents.  
3 (Source—NIMS, March 2004)

4 **Region.** As used in this document, “region” generally refers to the geographic area consisting of  
5 the contiguous State, local, and tribal entities located in whole or in part within a designated  
6 planning radius of a core high threat urban area. The precise boundaries of a region are self-  
7 defined.  
8

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

20 **Risk.** Risk is the product of threat, vulnerability, consequence, and likelihood of occurrence.

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

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

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

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

32 **Universal Task List.** A comprehensive menu of tasks from all sources that may be performed  
33 in major events illustrated by the National Planning Scenarios. Federal, State, local, and tribal  
34 entities select only the tasks that apply to their assigned roles and responsibilities.

35 **Volunteer.** Any individual accepted to perform services by an agency, which has authority to  
36 accept volunteer services when the individual performs services without promise, expectation, or  
37 receipt of compensation for services performed (See, for example, 16 U.S.C. 742f(c) and 29  
38 CFR 553.101.) (Source—NIMS, March 2004)

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1 **APPENDIX B—ACRONYMS AND ABBREVIATIONS**

2	<b>DHS</b>	Department of Homeland Security
3		
4	<b>GPRA</b>	Government Performance and Results Act
5		
6	<b>HHS</b>	Department of Health and Human Services
7	<b>HSC</b>	Homeland Security Council
8	<b>HSEEP</b>	Homeland Security Exercise and Evaluation Program
9	<b>HSGP</b>	Homeland Security Grant Program
10	<b>HSPD-8</b>	Homeland Security Presidential Directive 8
11		
12	<b>ICS</b>	Incident Command System
13	<b>ICTAP</b>	Interoperable Communications Technical Assistance Program
14	<b>IED</b>	Improvised Explosive Device
15		
16	<b>NAPA</b>	National Academy of Public Administration
17	<b>NIMS</b>	National Incident Management System
18	<b>NIPP</b>	National Infrastructure Protection Plan
19	<b>NRP</b>	National Response Plan
20		
21	<b>PART</b>	Program Assessment and Rating Tool
22	<b>POC</b>	Point of Contact
23		
24	<b>SAA</b>	State Administrative Agency
25	<b>SAFECOM</b>	Safety Interoperable Communications Program
26	<b>SLGCP</b>	Office of State and Local Government Coordination and Preparedness (DHS)
27		
28	<b>TCL</b>	Target Capabilities List
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30	<b>UASI</b>	Urban Areas Security Initiative
31	<b>UAWG</b>	Urban Areas Working Group
32	<b>UTL</b>	Universal Task List
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1 **APPENDIX C—HOMELAND SECURITY PRESIDENTIAL DIRECTIVE 8**

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

5 **Homeland Security Presidential Directive/HSPD-8**

6 Subject: National Preparedness

7 Purpose

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

13 Definitions

14 (2) For the purposes of this directive:

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

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

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

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

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

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

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

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

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

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

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

#### 15 Relationship to HSPD-5

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

#### 19 Development of a National Preparedness Goal

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

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

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

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

33 (6) The national preparedness goal will establish measurable readiness priorities and targets that  
34 appropriately balance the potential threat and magnitude of terrorist attacks, major disasters, and other  
35 emergencies with the resources required to prevent, respond to, and recover from them. It will also  
36 include readiness metrics and elements that support the national preparedness goal including standards for

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1 preparedness assessments and strategies, and a system for assessing the Nation's overall preparedness to  
2 respond to major events, especially those involving acts of terrorism.

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

6 Federal Preparedness Assistance

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

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

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

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

40 (12) The Attorney General, the Secretary of HHS, the Secretary of Transportation, the Secretary of  
41 Energy, the Secretary of Veterans Affairs, the Administrator of the Environmental Protection Agency,

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1 and the heads of other Federal departments and agencies that provide assistance for first responder  
2 preparedness shall coordinate with the Secretary to ensure that such assistance supports and is consistent  
3 with the national preparedness goal.

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

#### 9 Equipment

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

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

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

#### 25 Training and Exercises

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

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

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

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

#### 14 Federal Department and Agency Preparedness

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

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

#### 32 Citizen Participation

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

#### 37 Public Communication

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

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

3 Assessment and Evaluation

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

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

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

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

19 GEORGE W. BUSH

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