

# FACT SHEET



# Homeland Security

## Frequently Asked Questions: National Preparedness Goal

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### Expectations for States and Urban Areas

**Question:** What are States and Urban Areas being asked to do in the near term to help achieve the National Preparedness Goal (the Goal)?

**Answer:** In fiscal year (FY) 2005, States and Urban Areas are expected to understand and begin to apply Capabilities-Based Planning. The State and Urban Area Homeland Security Strategy Guidance, released on July 22, 2005 provides guidance to States and Urban Areas for tailoring and updating, as appropriate, their homeland security strategies by October 31, 2005. At a minimum, States and Urban Areas must ensure that their existing goals and objectives to support the National Preparedness Goal, the seven National Priorities, local government concerns, and citizen preparedness efforts. Their updated strategies also must address the four mission areas (prevent, protect, respond, recover) and reflect the priorities of the State. If desired, States and Urban Areas may conduct a more extensive update or rewrite of their strategies.

In early FY 2006, every State will be asked to conduct an analytical review of their homeland security programs and their capabilities in several key areas, evaluate where capabilities should be strategically located in order to maximize the return on preparedness investments, and develop regional approaches for leveraging all available funding sources (Federal, State, local, and private) to build their capabilities. The Office for Domestic Preparedness (ODP) will release additional guidance to support the completion of this program and priority capability review.

Later in FY 2006, a Pilot Capability Assessment will be conducted through a representative sampling of States and/or sub-State regions. This program's primary objectives are: to develop, implement, and test a capability assessment process through piloted sites; to begin understanding the Nation's level of preparedness through the framework of National

Preparedness Goal and Target Capabilities; and to produce valuable information to support local/state homeland security decision-making. The assessment will be based on the Target Capability List and associated measures identified through the TCL Working Groups.

**Question: Which State agency does DHS expect to take the lead in implementing the Goal?**

**Answer:** That is an internal State decision. Many State agencies will play a role in implementing the Goal. DHS requires the State to establish a preparedness organization (in accordance with the National Incident Management System) and use that organization to coordinate preparedness efforts and operational planning.

This preparedness organization should consist of a multi-disciplinary, cross-jurisdictional group of stakeholders at all levels of government. It is encouraged that stakeholders included in this preparedness organization include the State Administrative Agency members, the State Homeland Security Advisor, State Emergency Management Director, State Public Health Director, Citizen Corps points of contact, National Incident Management System point of contact, as well as additional personnel from law enforcement, fire, public health, public works, agriculture, information technology, and other pertinent disciplines. Regardless of which specific coordination body is selected, the State must engage a multi-disciplinary, regionally comprehensive group whose purpose is to manage the State's homeland security program and support implementation of the Goal.

**Question: How do the expectations outlined in the Goal relate to those outlined for implementation of the National Incident Management System (NIMS) and National Response Plan (NRP)?**

**Answer:** The Goal supports and complements the NIMS and the NRP. The Goal encourages the development of capabilities that directly support and enable implementation of the concepts presented in the NIMS and NRP. One of the overarching National Priorities described in the Goal focuses specifically on implementing the NIMS and NRP.

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## **Support and Assistance from the Department of Homeland Security**

**Question: Will assistance be available to help States implement the Goal?**

**Answer:** Yes. The National Preparedness Goal and National Preparedness Guidance describe a phased approach to implementation of the Goal over a multi-year period. DHS

offers technical assistance for helping States in implementing the Goal. Please contact the DHS Preparedness Officer assigned to your State for more information.

**Question: How can States and Urban Areas fulfill the requirements of the Goal with their limited personnel resources?**

**Answer:** The FY 2005 State Homeland Security Program and the Urban Areas Security Initiative specifically highlight that the costs associated with implementing and adopting HSPD-8 as an allowable planning expenditure. In addition, Appendix A of the FY 2005 Homeland Security Grant Program (HSGP) guidance notes that the hiring of full- or part-time staff or contractors/consultants to assist with planning activities is allowable under all six programs included in the HSGP. While grantees may **not** use funds to hire sworn public safety personnel to fulfill traditional public safety duties, they can hire staff (to include sworn public safety personnel) to assist with allowable HSGP program implementation activities, including HSPD-8 related initiatives. These allowances also apply to previous fiscal year programs, including:

- FY 2004 HSGP
- FY 2004 UASI
- FY 2003 SHSGP I & II
- FY 2003 UASI I & II

Additional questions on allowable costs should be directed to your assigned DHS Preparedness Officer for further clarification.

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### **All-Hazards vs. Terrorism Planning**

**Question: How does the Department of Homeland Security's approach to HSPD-8 represent "all-hazards" planning? How is "all-hazards" planning specifically reflected in the Goal?**

**Answer:** HSPD-8 defines "all-hazards" preparedness as preparedness for domestic terrorist attacks, major disasters, and other emergencies. HSPD-8 states that Federal preparedness assistance is intended primarily to support State and local efforts to build capacity to address major (or catastrophic) events, especially terrorism. To meet those requirements, the Department adopted an all-hazards planning approach focused on the potential scope of catastrophic events and associated capabilities. The approach does not include every possible threat and hazard; rather, it uses a range of high-impact threats and hazards to identify capabilities and levels of capability that the range of scenarios would demand. The Nation cannot afford to achieve and sustain the full level of capability that every possible worst-case scenario could demand. The Nation must put plans in place at every level

(Federal, State, local, tribal, private, non-governmental and citizen) to cope with catastrophic emergencies that exceed available capability. “All-hazards” planning is specifically reflected in Capabilities-Based Planning, which underpins the entire Goal.

**Question: Should exercises or training be focused on a specific Scenario or Scenarios?**

**Answer:** The National Planning Scenarios are being provided at this time as a tool to support Capabilities-Based Planning. Use of specific Scenarios in Federally-funded activities will be addressed in program guidance. For more information, please contact the Exercise and Training Division at the Office for Domestic Preparedness or visit <http://www.ojp.usdoj.gov/odp/exercises.htm> and <http://www.ojp.usdoj.gov/odp/training.htm>

**Question: Why does the mitigation mission area not appear in the Goal, Universal Task List (UTL), or Target Capabilities List (TCL)?**

**Answer:** Mitigation does not appear as a separate mission area in the Goal and the supporting documents for consistency with the National Incident Management System, the National Response Plan, and Homeland Security Presidential Directives 5, 7, and 8. Mitigation-related tasks are included among the preparedness tasks in the Universal Task List, and mitigation-related capabilities are included in several capabilities in the Target Capabilities List, including Citizen Preparedness and Participation, Food and Agriculture Safety and Defense, WMD/Hazardous Materials Response, and Decontamination and Structural Damage Mitigation Assessment.

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## **Capabilities-Based Planning Approach**

**Question: Is the TCL a final list of capabilities? For example, is DHS considering adding other capabilities, such as border control?**

**Answer:** The TCL is a work in progress and will be expanded over time as necessary. The intent is to make the TCL as comprehensive as possible across the mission areas of prevention, protection, response, and recovery, at a level of detail that is appropriate for incidents of national significance.

**Question: Are target levels of capability a minimum or maximum?**

**Answer:** Target levels of capability are intended to define a minimum to be achieved and sustained by leveraging all Federal preparedness assistance funding streams. States may exceed the target levels using other sources of funding.

**Question: Will States and localities be required to demonstrate a minimum level of proficiency for all 36 target capabilities?**

**Answer:** Yes, eventually. Not every entity is expected to commit the resources to build its capabilities to the same level. Instead, jurisdictions are encouraged to expand proficiency through regional efforts or mutual aid agreements. Although each jurisdiction or agency is

encouraged to do its part in national preparedness, States may focus on achieving levels of capability holding priority in their State Homeland Security Strategy.

**Question: Will the Department guarantee a baseline level of funding for all 36 capabilities?**

**Answer:** The Target Capabilities List (TCL) is a planning tool, not a funding formula. The Department cannot provide funding guarantees. Funding formulas for Federal preparedness assistance are written into law. The National Priorities and the TCL help States determine the capabilities and levels of capability that they need to achieve with available funding from all sources, not just the Department of Homeland Security.

**Question: How are States and localities supposed to focus spending ?**

**Answer:** The initial focus should be on capabilities that address the seven National Priorities, as identified in the Goal, and the capabilities that are a priority to the State, as identified in the State Homeland Security Strategy. However, this should not preclude States and localities from allocating their own resources to improve their preparedness in any of the 36 target capabilities.

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## **Standards**

**Question: How does the all-hazards approach correlate to the Emergency Management Accreditation Program (EMAP) process that the Federal Emergency Management Agency (FEMA) currently funds as a baseline assessment of each state's emergency management program?**

**Answer:** The long-term goal of the EMAP process is to have true common standards and a common language for discussing those standards. DHS is a strong proponent of National Fire Protection Association Standard (NFPA) 1600 and the Emergency Management Accreditation Program (EMAP), and is working with EMAP officials to develop preparedness assessments.

**Question: Will the Department incorporate existing standards (e.g., EMAP, NFPA 1600) into new requirements, especially for the TCL?**

**Answer:** Yes. When developing the TCL, DHS reviewed and incorporate existing industry standards for inclusion in the target capabilities. These standards have been linked to the appropriate target capability under "references." For example, EMAP standards have been linked to the Planning, Interoperable Communications, Risk Analysis, Citizen Preparedness and Participation, On-Site Incident Management, and Emergency Operations Center Management capabilities. The NFPA 1600 standard has been linked to the Firefighting Operations/Support, Citizen Protection: Evacuation and/or In-Place Protection, Emergency Public Information and Warning, Economic and Community Recovery, and

Planning capabilities. As DHS develops target levels and assigns responsibility to build and sustain the target capabilities, it will continue to draw upon existing industry and/or professional standards to help develop the most appropriate performance measures.

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## Assessment

**Question: Which assessments for DHS and HHS need to be completed within what timetable?**

**Answer:** The National Preparedness Goal and Guidance outline four types of assessments: 1) compliance assessment; 2) capabilities assessment; 3) needs assessment; and 4) performance assessment.

**1. Compliance Assessment:** With their FY 2006 Homeland Security Grant Program applications, States will submit a simple checklist to illustrate progress made against requirements identified in the National Preparedness Guidance.

**2. Capabilities Assessment:** In FY 2006, DHS will pilot a capabilities assessment methodology in a sample of states/sub-state regions. This process will be tested and validated prior to a national rollout. In developing the capabilities assessment process, DHS is including a number of Federal agencies (such as HHS and DOT) as well as State, local, tribal, and non-governmental stakeholder representatives.

**3. Needs Assessment:** During the beginning of FY 2006, States will conduct a Homeland Security Program and Capability Review to gauge and prioritize statewide homeland security needs and develop a program management plan to address those needs. The Program and Capability Review process will provide a foundation upon which **States can address need and prioritize initiatives they plan to implement using preparedness grant program funding.**

**4. Performance Assessment:** The Homeland Security Exercise and Evaluation Program doctrine is currently being updated to ensure alignment with the TCL and UTL and to promote capabilities-based performance assessments. These performance assessments will allow the Nation to evaluate, through exercises and real-world events, the ability to perform tasks associated with capabilities in the Target Capabilities List.

**Question: Will there be some kind of State-by-State report card issued on progress or level of capability? Will it be publicly “issued”?**

**Answer:** HSPD-8 requires development of an assessment system and annual status reports on the Nation’s overall level of preparedness, including State capabilities. State-by-State report cards will not be publicly issued. The capability assessment will be a critical component to assessing the Nation’s overall level of preparedness. States will have access to State-specific capability assessment information. Information gathered from the capability assessment will contribute to the development of the annual status reports. This information could be highly sensitive and, therefore, access will be controlled to prevent misuse of information.

**Question: Will DHS turn to the State Homeland Security Directors to provide certification for compliance?**

**Answer:** States will be asked to submit compliance checklists along with their FY 2006 Homeland Security Grant Program applications to assist DHS in determining the progress being made by States in implementing the National Preparedness Goal and seven National Priorities. States will be responsible for setting timelines for local compliance against the requirements listed in the compliance checklist and ensuring that those requirements are met. DHS will request only State-level compliance checklists to be submitted with the FY 2006 grant application.

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## **Stakeholder Engagement**

**Question: Has the Department included all relevant stakeholders in the development of the UTL, TCL, and the Goal?**

**Answer:** DHS has worked with Federal, State, local, and tribal entities, non-profit organizations, and national associations to provide input in the development of the Universal Task List, Target Capabilities List, and the National Preparedness Goal at every stage of the development process. Involvement of stakeholders has been accomplished through national stakeholder workshops, working groups, and broad national reviews. For more information on stakeholder engagement, go to [www.ojp.usdoj.gov/odp/assessments/hspd8.htm](http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm) and click on “stakeholder engagement fact sheet.”

**Question: Are other Federal agencies involved in the development of the Goal?**

**Answer:** Yes. As required by HSPD-8, DHS has coordinated with other Federal departments and agencies, including components of thirteen departments and eleven independent agencies, at every stage of the development process. The interagency Deputies Committee of the Homeland Security Council approved the Interim Goal in March 2005, to include the vision, seven National Priorities, and thirty-six capabilities (in concept). Other Federal departments and agencies are coordinating with DHS to ensure that their first responder preparedness assistance (including annual program guidance) supports and is consistent with the Goal. For example, the Department of Health and Human Services (HHS) is a strong partner in developing and implementing the Goal. Their primary mechanisms for Federal preparedness assistance are the Centers for Disease Control and Prevention’s Public Health Preparedness Cooperative Agreement and the Health Resources and Services Administration’s National Bioterrorism Hospital Preparedness Program Cooperative Agreement, both of which are synchronized with the National Preparedness Goal and Target Capabilities List. For more information on HHS initiatives, go to [www.bt.cdc.gov](http://www.bt.cdc.gov) or [www.hrsa.gov/bioterrorism/](http://www.hrsa.gov/bioterrorism/).

**Question: What are future opportunities to provide stakeholder input into the process?**

**Answer:** Drafts of the Final National Preparedness Goal and Target Capabilities List version 2.0 are posted to the Lessons Learned Information Sharing website ([www.llis.gov](http://www.llis.gov)) for broad national review until October 14, 2005. Comments received have been, and will continue to be, incorporated into the document or catalogued for future consideration. There will be many opportunities to provide input into the process in the future, such as development of the structure and process for management and maintenance of the Goal, including the planning tools, and the annual status report to the President on the Nation's overall level of preparedness.

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