State and Urban Area Homeland Security Strategy

Guidance on Aligning Strategies with the National Preparedness Goal
July 22, 2005

Homeland Security

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STATE AND URBAN AREA HOMELAND SECURITY STRATEGY
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I. INTRODUCTION

On March 31, 2005, the Department of Homeland Security (DHS) issued the Interim National Preparedness Goal (the Goal) and accompanying National Preparedness Guidance (NPG). The Goal establishes a vision for a National Preparedness System, and the NPG provided an introduction to several of the key building blocks for that system, including the National Planning Scenarios, Universal Task List (UTL), Target Capabilities List (TCL), and seven National Priorities. This document provides follow-on guidance for use by States and Urban Areas in placing their preparedness efforts within the context of this new doctrine and updating their existing Homeland Security Strategies to ensure that they support the Goal and reflect the seven National Priorities. Updated strategies must be submitted to the Office for Domestic Preparedness (ODP) by September 30, 2005, and will both guide and focus future State and Urban Area preparedness activities, budgets, and priorities. The appendix provides information for the format and submission of the strategies.

The purpose of Homeland Security Strategies is to:
- Provide a blueprint for comprehensive, enterprise-wide planning for homeland security efforts;
- Provide a strategic plan for the use of related Federal, State, local, and private resources within the State and/or Urban Area before, during, and after threatened or actual domestic terrorist attacks, major disasters, and other emergencies;

II. CONTEXT FOR THE STRATEGY UPDATE

Ours is a nation that must manage risk. The threats we face – terrorism, disasters, and major emergencies – respect neither jurisdictional nor geographic boundaries. We cannot prepare for every eventuality; thus, we must strategically allocate and apply limited resources. We must adopt a common approach and establish a shared commitment among Federal, State, local, and tribal governments and the private sector in our efforts to strengthen the preparedness of the United States. Only through such an approach can we build effective capabilities to prevent, protect against, respond to, and recover from terrorist attacks, major disasters, and other emergencies, and achieve the greatest return on our national investment in homeland security.

Understanding our risks and capabilities, and applying our resources effectively to manage those risks is critical to our national preparedness. We must think about

managing preparedness in the way we manage operations—in an integrated manner. Applying the principles of unified command and adopting a systems-based approach to preparedness will enable us to build capabilities and programs that will achieve more success in combination with a shared commitment than individual, disparate efforts. In short, these efforts will help us realize the Goal.

A. The National Preparedness Goal

The Goal represents a significant evolution in the way we approach preparedness and homeland security. The Goal presents a collective vision for national preparedness, and establishes National Priorities that will help guide the realization of that vision. The vision set forth by the Goal encompasses the full spectrum of activities necessary to address a broad range of threats and hazards, including terrorism.

The vision of the National Preparedness Goal is:

> *To engage Federal, State, local, and tribal entities, their private and non-governmental partners, and the general public to achieve and sustain risk-based target levels of capability to prevent, protect against, respond to, and recover from major events in order to minimize the impact on lives, property, and the economy.*

B. A Framework for National Preparedness

The Goal provides a common framework for a systems-based approach to build, sustain and improve national preparedness for a broad range of threats and hazards. The Goal and other source documents define the mission areas of this framework as follows:

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

> **Protect:** Actions to reduce the vulnerability of critical infrastructure or key resources in order to deter, mitigate, or neutralize terrorist attacks, major disasters, and other emergencies (Source—HSPD 7, December 2003). It requires coordinated action on the part of federal, state, and local governments; the private sector; and concerned citizens across the country. Protection also includes: continuity of government and operations planning; awareness elevation and understanding of threats and vulnerabilities to their critical facilities, systems, and

functions; identification and promotion of effective sector-specific protection practices and methodologies; and expansion of voluntary security-related information sharing among private entities within the sector, as well as between government and private entities. (Source – The National Strategy For The Physical Protection of Critical Infrastructures and Key Assets, February 2003)

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

Recover: Activities that include the development, coordination, and execution of service- and site-restoration plans; the reconstitution of government operations and services; individual, private- sector, nongovernmental, and public-assistance programs to provide housing and to promote restoration; long-term care and treatment of affected persons; additional measures for social, political, environmental, and economic restoration; evaluation of the incident to identify lessons learned; post-incident reporting; and development of initiatives to mitigate the effects of future incidents (Source—NIMS, March 2004).

At the core, success depends upon robust and adaptive collaboration—between the public and private sector, among different levels of government, among multiple jurisdictions, and among departments and agencies within a single jurisdiction. Collaboration encompasses a wide range of activities (e.g., joint planning, training, operations) aimed at coordinating the capabilities and resources of various entities (agencies, organizations, and individuals from many tiers of public and private sectors) for the common purpose of preventing, protecting against, responding to, and recovering from intentional as well as natural threats to people or property. As such a critical element, collaboration can thus be viewed as the foundation upon which success in all four mission areas depends.

Each mission area includes a collection of capabilities that require the integration of multiple agencies, disciplines, processes, and procedures. For example, the prevention mission area includes the capability of intelligence fusion and analysis.   This capability requires the interaction of law enforcement investigations, public health surveillance, suspicious activity reports from the public, and other discipline-specific activities.

Integration is needed across mission areas. For example, information learned in intelligence fusion and analysis should inform critical infrastructure protection efforts so that protection strategies fit the threats.

This common framework provides an overarching structure which can guide the establishment and enhancement of homeland security preparedness organizations, programs and processes. While individual components within the framework may change over time, the framework is robust and should not change.

C. The National Preparedness System

Implementing a common, shared approach to achieving National preparedness requires the Nation to align its programs and efforts in support of the Goal. Alignment can best be achieved through the application of a systems-based approach, utilizing capabilities-based planning as a common, all-hazard, major events planning process. This will support the establishment of a true National Preparedness System, which will provide a mechanism for measuring preparedness and informing future preparedness investments.

The National Preparedness System is a system of systems. As stated in the National Preparedness Goal, "a system is a combination of facilities, equipment, personnel, procedures, and communications integrated into a common organizational structure to achieve a mission or outcome." Many processes, programs, and capabilities already in place within State, local, tribal, and private sector homeland security programs and across disciplines will support the National Preparedness System. The emerging National Preparedness System provides a way to enhance these existing resources by networking them together more effectively.

The National Preparedness System provides a means for the Nation to answer three fundamental questions: "*How prepared do we need to be*?", "*How prepared are we*?", and "*How do we prioritize efforts to close the gap*?" The system helps enable all levels of government to collaborate seamlessly in order to identify critical gaps and deficiencies, develop strategies to address those gaps and deficiencies, track and report on progress toward resolution, and aggregate this information to better understand our level of preparedness nationally. The system also helps enable leaders at all levels to allocate resources systematically to close capability gaps, thereby enhancing the effectiveness of preparedness efforts.

The implications of moving to an integrated and adaptive National Preparedness System are significant. This shift will require organizational and operational change across agencies, disciplines and jurisdictions – and across State lines. Mutual aid agreements, inter-organizational linkages, information sharing, and collaboration become critical elements of the new homeland security landscape.

In facing these changes, however, we must recognize that we are not starting over. Rather, we are building on the effective systems, processes, and capabilities we already have in place. Aligning these existing programs, processes, and organizational structures

to a common framework will not happen overnight, but will be an incremental change over time.

In employing a systems-based approach to National Preparedness, no single component part can be the sole responsibility of one individual or group. We have organized and formed many of the core coordinating structures and working groups, however, progress can still be made in how these coordinating structures and working groups operate. Achieving full integration and interconnectedness between the public and private sector, among different levels of government, among multiple jurisdictions, and among departments and agencies within a single jurisdiction requires robust collaboration. Initial progress has been made in our collaboration and coordination efforts to date, but further progress can and must be made to support the Goal.

III. THE PATH FORWARD

Over the next year, the initial focus will be on significantly improving or enhancing capabilities supporting the seven National Priorities listed in the NPG, as building blocks for the National Preparedness System. These seven priorities reflect a limited number of the cross-cutting initiatives and critical capabilities that should drive near-term planning and resource allocation efforts. The National Priorities are intended to guide the Nation's preparedness efforts to meet its most urgent needs, and fall into two categories: (1) overarching priorities that contribute to the development of multiple capabilities, and (2) capability-specific priorities that build selected capabilities for which the nation has the greatest need.

National Priorities
Overarching Priorities

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

Capability-Specific Priorities

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

The Homeland Security Strategy update process provides a unique opportunity for States and Urban Areas to align their existing strategies with these seven National Priorities. **It is not a requirement to provide a new goal for each of the seven National Priorities. It is necessary, however, to address all four mission areas and reflect the prescribed National Priorities within the updated strategies.** This can be accomplished through

goal statements and supporting objectives. States and Urban Areas have already made substantial progress in the strategic planning arena; this update asks them to build on that success.

Updated State and Urban Area Homeland Security Strategies will then provide a context for performing the strategic exercise of asking *"How are we organized?"* and *"How are we managing our homeland security programs?"* This evaluation will enable us as a Nation to think about how we build our programs and capabilities within and across State boundaries. Over the next several months, DHS will continue to work closely with Federal, State, local, tribal, private sector, and non-governmental subject-matter experts to further refine the target capabilities list and identify the levels of capability that will enable the Nation to minimize the impact on lives, property, and the economy for *all* scenarios. Later in 2005, States and Urban Areas 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. ODP will release additional guidance to support the completion of this program and priority capability review in late summer of 2005. The results of these reviews will support the application for and leveraging of Federal preparedness assistance from DHS, the Department of Heath and Human Services (HHS), and other Federal agencies.

IV. MINIMUM REQUIREMENTS FOR UPDATING STRATEGIES

Strategic planning, at its core, is a process that should guide the States and Urban Areas in achieving their goals and objectives.   The current State and Urban Area Homeland Security Strategies have strong foundations that should support an ongoing process of review and refinement as new lessons are learned, new priorities are realized, and new homeland security guidance is released. With the release of the National Preparedness Goal and Guidance, State and Urban Areas have an opportunity to address the four core mission areas and reflect the National Priorities in their strategies.

Although ODP is requiring States and Urban Areas to revisit their current strategies, the intent of this guidance is not to require that an entirely new strategy be written, but rather to *tailor and update*, as appropriate, existing goals and objectives to support the National Preparedness Goal, the seven National Priorities, local government concerns, and citizen preparedness efforts. If desired, States and Urban Areas may conduct a more extensive update or rewrite of their strategies.

At a minimum, States and Urban Areas must ensure that their updated strategies address the four mission areas (prevent, protect, respond, recover) and reflect the seven National

Priorities[1]. It is important to note that it is <u>not</u> a requirement to provide an individual goal and objective for each mission area and priority; States and Urban Areas must show, however, how their goals and objectives align to these priorities. It is recognized that each State and Urban Area has unique needs and capabilities and the strategies should reflect these attributes. Therefore, strategies should continue to include additional goals and objectives that reflect specific State and Urban Area priorities. Strategies must address citizen preparedness, volunteer efforts,[2] and local government concerns[3]. It is also strongly encouraged that States and Urban Areas consider collaboration across disciplines, jurisdictions, and agencies when describing the strategies, goals, and objectives within the framework of the mission areas.

The current State and Urban Area Homeland Security Strategies address 2004, 2005, and 2006, and are mostly terrorism focused. In updating their strategies this year, States and Urban Areas should begin the process of evolving their strategies to address not only terrorism, but a broad range of other threats and hazards, founded on a capabilities-based planning approach. In the future, States and Urban Areas will be asked to develop enterprise-wide homeland security strategies for 2007, 2008 and 2009 that reflect the necessary integration and collaboration across all mission areas and support the establishment of the National Preparedness System and realization of the Goal.

V. INCORPORATING NATIONAL PRIORITIES

The following paragraphs highlight the seven National Priorities as identified in the National Preparedness Goal, and provide guidance on how to apply each priority to the State or Urban Area homeland security strategy.

A. Expanded Regional Collaboration

Background of the Expanded Regional Collaboration Priority:
Major events, especially terrorism, will invariably have cross-geographic consequences and impact. The expanded regional collaboration priority highlights the need for embracing partnership across multiple jurisdictions, regions, and States in building capabilities cooperatively. Successful regional collaboration allows for a multi-jurisdictional and multi-disciplinary approach to building capabilities for all four mission

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[1] This does not require an update to existing objectives if those objectives already reflect the National Priorities. However, the alignment of those objectives to the National Priorities should be clearly articulated.

[2] State and local governments are encouraged to consider all sources of citizen and community support from those responsible for the coordination of citizen education, communication, training, participation, and volunteer activities (e.g., Citizen Corps).

[3] Local governments should be involved in the ongoing strategic planning process (e.g. development and/or review of the strategy) performed by States and Urban Areas and, therefore, local government concerns should be addressed in the strategies.

areas, spreading costs, and sharing risk across geographic areas. This approach increases opportunities to create efficiency and leverage capabilities across the country. Regional collaboration focuses on expanding mutual aid and assistance compacts among contiguous State, local, and tribal entities, and their private and non-governmental partners, and extending the scope of those compacts to include pre-incident preparedness activities (i.e., planning, training, exercising). The intent is to locate capabilities strategically to maximize coverage of the U.S. population and the Nation's high priority critical infrastructure and key resources. The Goal does not mandate that State and local governments adopt a regional governmental structure, but it does require that all levels of government embrace a *regional approach to building capabilities.*

Regional Collaboration: A Multi-Jurisdictional and Multi-Disciplinary Approach*

	Federal	**State**	**Region**	**Local**	**Tribal**	**Citizen/ Private/ NGO**
	PARTNERSHIP ACROSS JURISDICTIONS, REGIONS, AND STATES					
Emergency Management						
Law Enforcement						
Fire				ILLUSTRATIVE		
Public Health and Healthcare						
Public Works						

MULTI-DISCIPLINARY APPROACH
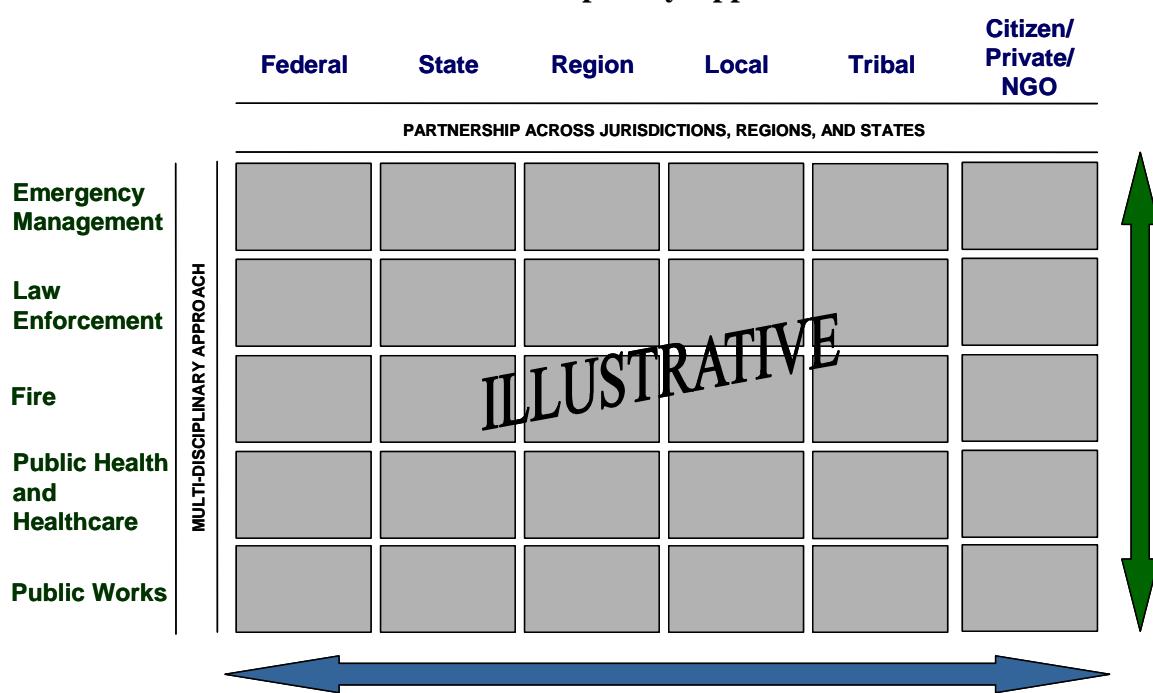
*Note: This graphic is for illustrative purposes only – it is not representative of all disciplines.

How to apply the Expanded Regional Collaboration Priority to the 2005 State and Urban Area Homeland Security Strategy Update:
Preventing, protecting against, responding to, and recovering from major events (as represented by the National Planning Scenarios) will require that capabilities be drawn from a wide area. The area from which resources will be drawn may or may not expand beyond the current area served by existing regions. In updating their homeland security strategies, States and Urban Areas are asked to examine current regional collaboration efforts and explore new approaches to developing regional capabilities. The strategy should provide a narrative description of how the State or Urban Area currently uses and plans to use mutual aid to prevent, protect against, respond to, and recover from major events. The strategy should present the States' or Urban Areas' vision for increasing

existing collaboration efforts and establishing and enhancing integrated regional operational systems for all mission areas.

In developing this vision and updating their strategies, States and Urban Areas should complete the following activities:

- Define current collaboration efforts already undertaken across jurisdictions and across disciplines within jurisdictions
- Discuss opportunities for future collaboration with other geographic regions that can enhance capability within the State or Urban Area
- Define future goals and objectives for a regional approach for prevention, protection, response, and recovery
- Outline a process for integrating operational systems from multiple disciplines and jurisdictions for all mission areas

It is important to note that regional collaboration is not necessarily a structured, institutionalized program across regions, but better defined as a strategic vision for the future, with a multi-jurisdictional and multi-disciplinary approach to homeland security. There is not a one-size-fits-all approach to regional collaboration, but the States' or Urban Areas' vision should support an enterprise-wide approach to building capability for all the mission areas.

B. Implement the National Incident Management System (NIMS) and National Response Plan (NRP)

Background on the Implementation of NIMS and NRP Priority:
HSPD-5, "*Management of Domestic Incidents*," mandated the creation of the National Incident Management System (NIMS) and National Response Plan (NRP). The NIMS provides a consistent framework for entities at all jurisdictional levels to work together to manage domestic incidents, regardless of cause, size, or complexity. To promote interoperability and compatibility among Federal, State, local, and tribal capabilities, the NIMS includes a core set of guidelines, standards, and protocols for command and management, preparedness, resource management, communications and information management, supporting technologies, and management and maintenance of NIMS. The NRP, using the template established by the NIMS, is an all-discipline, all-hazards plan that provides the structure and mechanisms to coordinate operations for evolving or potential Incidents of National Significance. Incidents of National Significance are major events that "*require a coordinated and effective response by an appropriate combination of Federal, State, local, tribal, private sector, and nongovernmental entities.*"

For the purposes of updating the FY 2005 State and Urban Area strategies, the NIMS and NRP will be jointly noted as NIMS/NRP.

How to apply the NIMS and NRP Priority to the 2005 State and Urban Area Homeland Security Strategy Update:
Both the NIMS and the NRP were formally issued by DHS after the submission to ODP of the most recently approved State and Urban Area Homeland Security Strategies. As such, States and Urban Areas are being asked to show how their strategic goals and objectives support the implementation of NIMS and the alignment of State and local operational plans to the NRP; the updated strategies are not, however, intended to reproduce a completed NIMS implementation plan in its entirety.

Updated strategies should indicate how States and Urban Areas will incorporate the NIMS/NRP into their emergency response plans, policies and procedures, incident and resource management, trainings, programs, and exercises. Strategies also should reflect how NIMS/NRP will support integrated regional operational systems. This will be part of the consistent nationwide approach for Federal, State, local, and tribal governments to work together more effectively and efficiently to prevent, protect against, respond to, and recover from domestic incidents, regardless of cause, size, or complexity.

The NIMS Integration Center (NIC) will be providing full NIMS implementation guidelines to States and Urban Areas for FY 2006 compliance in the summer of 2005.

For further information on this priority:
The NIMS can be found online at:
http://www.fema.gov/pdf/nims/nims_doc_full.pdf

The NRP can be found online at:
http://www.dhs.gov/interweb/assetlibrary/NRP_FullText.pdf

Additional information can be found online at:
http://www.fema.gov/nims/

C. Implement the Interim National Infrastructure Protection Plan (NIPP)

Background of the Interim National Infrastructure Protection Plan (NIPP) Priority:
The Interim NIPP outlines how DHS will exercise leadership and work with State, Tribal, and local governments, and the private sector to implement *HSPD-7: Critical Infrastructure Identification, Prioritization, and Protection* to produce a risk management framework that fosters a more secure environment for our nation's citizens and infrastructure. With the inclusion of the Interim NIPP implementation as a National Priority, infrastructure protection efforts are a required component of both State and Urban Area strategies and thus form a key pillar of the overarching homeland security program. States and Urban Areas are responsible for developing and implementing a critical infrastructure protection program as a component of their overarching homeland security program.

Critical Infrastructure and Key Resource (CI/KR) sites are potential terrorist targets deemed most crucial in terms of national-level public health and safety, governance, economic and national security, and public confidence consequences. Protecting CI/KR sites is a shared responsibility requiring cooperation among all levels of government – Federal, State, local, and tribal – and the involvement of the private sector. Effective security involves plans that define, identify, and set priorities for the most critical structures and assets that are potential targets for terrorist attacks.

The NIPP provides the consistent, unifying structure for integrating critical infrastructure protection (CIP) efforts of CI/KR, which requires knowledge of terrorist tactics and targets, combined with a comprehensive understanding of CI/KR vulnerabilities and the protective measures that can effectively eliminate or mitigate those vulnerabilities. Consistent with HSPD-7, "Critical Infrastructure Identification, Prioritization, and Protection," the NIPP reflects the 17 individual CI/KR sectors identified in the table below.

Critical Infrastructure and Key Resource Sectors

Critical Infrastructure and Key Resource Sectors
Agriculture and Food
Public Health and Health Care
Drinking Water and Wastewater Treatment Systems
Energy
Banking and Finance
National Monuments and Icons
Defense Industrial Base
Information Technology
Telecommunications
Chemical
Transportation Systems
Emergency Services
Postal and Shipping
Dams
Government Facilities
Commercial Facilities
Nuclear Reactors, Materials, and Waste

From a functional standpoint, the responsibility for creating and managing a critical infrastructure protection program entails building a program that can implement the risk management framework outlined in the Interim NIPP, to include: identifying critical assets; assessing risks; normalizing and prioritizing across infrastructure sectors; implementing protective programs; and measuring effectiveness of risk reduction measures. In the aggregate, these functions form the basis of an infrastructure protection program and are elements that support the implementation of relevant infrastructure protection-related goals and objectives in the State and Urban Area homeland security strategies.

How to apply the Interim NIPP Priority to the 2005 State and Urban Area Homeland Security Strategy Update:
In updating their strategies, States and Urban Areas should provide a strategic context and vision for their infrastructure protection programs. In developing this vision, States and Urban Areas should consider how they will fulfill the following roles:

- Build a Statewide critical infrastructure protection program that implements the risk management framework outlined in the Interim NIPP. Chapter 3 of the Interim NIPP provides more detailed discussion of the risk management framework and specific approaches to reducing critical infrastructure vulnerability.
- Engage all relevant intergovernmental coordination points (e.g., Federal, State, regional, tribal, local) to ensure a comprehensive approach to critical infrastructure protection across all appropriate levels of government and across both public and private sectors.
- Develop strategies for the protection of CI/KR assets not on the Federal list, but which are of concern to the State or Urban Area.
- Incorporate cyber security protection efforts across all sectors of CI/KR.

DHS is currently working in conjunction with Federal, State, tribal, local, and private sector stakeholders to update and finalize the NIPP by fall of 2005.

For further information on this priority:
- Refer to the Interim NIPP or send comments and questions to NIPP@dhs.gov.
- The Department of Homeland Security's National Strategy for the Physical Protection of Critical Infrastructures and Key Assets: http://www.whitehouse.gov/pcipb/physical.html
- Homeland Security Presidential Directive – 7 (HSPD-7), "Critical Infrastructure Identification, Prioritization, and Protection": http://www.whitehouse.gov/news/releases/2003/12/20031217-5.html
- The USA PATRIOT Act defines critical infrastructure as "systems and assets, whether physical or virtual, so vital to the United States that the incapacity or destruction of such systems and assets would have a debilitating impact on security, national economic security, national public health or safety, or any combination of these matters." http://thomas.loc.gov/cgi-bin/bdquery/z?d107:h.r.03162:
- The President's *National Strategy for Homeland Security* (NSHS), issued in July 2002, restates the definition of critical infrastructure provided in the PATRIOT Act. The Strategy expands on this definition, however, summarizing its rationale for classifying specific infrastructure sectors as critical: http://www.whitehouse.gov/homeland/book/

D. Strengthen Information Sharing and Collaboration Capabilities

Background on Strengthen Information Sharing and Collaboration Capabilities Priority:
The National Incident Management System (NIMS) identifies establishing an effective process for gathering, sharing and managing information and intelligence as a key characteristic of effective incident management. Likewise, the National Response Plan (NRP) identifies collection, analysis and application of intelligence and other information as a key component of mission performance. The National Preparedness Goal (NPG) reflects the consensus of the homeland security community regarding how to achieve appropriate levels of proficiency and the required supply of capabilities for these missions and processes through the *Information Sharing and Collaboration National Priority*.

Effective "information sharing and collaboration" efforts depend on the ability of State, local, and tribal governments to collect, analyze, disseminate, and use Homeland Security-related intelligence, a capacity that has come to be known as "intelligence/information fusion." Accordingly, the establishment of this fusion capacity is one of the top components of the *Information Sharing and Collaboration Priority* for State, local, and tribal governments.

How to apply the Information Sharing and Collaboration Priority to the 2005 State and Urban Area Homeland Security Strategy Update:
Grantees are encouraged to develop a strategic framework that outlines an overall vision and approach relative to the *Information Sharing and Collaboration Priority*. At the State level, this strategic framework should consider how the fusion process will be organized and coordinated and how the State will establish and maintain or contribute to an analytic capability to facilitate the fusion process. At the Urban Area level, consideration should be given to how the fusion process will be established, i.e., as a stand-alone capacity or through direct integration into the statewide or regional structure, as well as how it will be organized and coordinated.

Some goals to consider in the development of the strategic framework include:
- Ensuring that the fusion process is fully capable of communicating effectively and efficiently with the Federal Government, through the Homeland Security Information Network (HSIN), the Homeland Security Operations Center (HSOC), and with our intelligence and law enforcement personnel across the Federal Government.
- Utilizing HSIN, which will significantly strengthen the flow of real-time threat information to State, local, and private sector partners at the Sensitive-but-Unclassified level, and provide a platform for communications through the classified SECRET level to State offices.
- Establishing connectivity with the HSOC, which will be responsible for taking homeland security-related information and intelligence collected and/or produced via the State fusion process, blending it with up-to-date intelligence collected by

Federal entities, and sharing the resulting products with State, tribal, local, and private sector entities via the State's fusion process.
- Integrating and coordinating with key local or regional Federal intelligence entities such as the FBI's Field Intelligence Groups, the Joint Terrorism Task Forces, U.S. Immigration and Customs Enforcement's Field Intelligence Units, the U.S. Coast Guard's Field Intelligence Support Teams, the Drug Enforcement Administration's High Intensity Drug Trafficking Area centers and other field intelligence units is essential.

For further information on this priority:
The Global Justice Information Sharing Initiative will release the 'Recommended Minimum Standards for Establishing and Operating the Intelligence Component of Fusion Centers for Local, State, Tribal, and Federal Law Enforcement,' in the ensuing months.

Information Sharing and Collaboration information can be found at the following web sites:
- DHS HSIN website: http://www.dhs.gov/dhspublic/display?theme=43&content=3747&print=true
- SouthWest Emergency Response Network website: www.swern.gov
- NorthWest Warning, Alert & Response Network website: www.nwwarn.gov
- Homeland Security Advisory Council Intelligence and Information Sharing Initiative: http://www.dhs.gov/interweb/assetlibrary/HSAC_IntelInfoSharingReport_1204.pdf

Information on FBI and related DOJ efforts in this area can be found at: www.fbi.gov/terrorinfo/counterrorism/partnership.htm

E. Strengthen Interoperable Communications Capabilities

Background on Strengthen Interoperable Communications Priority:
The lack of interoperable wireless communication systems is an issue that continues to affect public safety agencies in communities across the country. In many cases, agencies are unable to communicate or share critical voice and data information with other jurisdictions or disciplines during major events or even day-to-day operations. Interoperable Communications, the ability to provide an uninterrupted flow of critical information among responding multi-disciplinary and multi jurisdictional agencies at all levels of government before, during, and after an event, is a capability-specific priority. Communications interoperability underpins the ability of Federal, State, local, and tribal entities to work together effectively to prevent, protect against, respond to, and recover from terrorist attacks, major disasters, and other emergencies.

How to apply the Interoperable Communications Priority to the 2005 State and Urban Area Homeland Security Strategy Update:
The Interoperability Continuum graphically depicts the five critical elements of success – governance, standard operating procedures, technology, training & exercise, and usage of equipment – that must be addressed to develop robust interoperability solutions. States must consider the Interoperability Continuum when updating their State and Urban Area Homeland Security Strategies. Below are expanded definitions of each element within the continuum:

- Governance – A common governing structure for addressing interoperability issues will improve the policies, processes, and procedures of any major project by enhancing communication, coordination, and cooperation, establishing guidelines and principles, and reducing internal jurisdictional conflicts.
- Standard Operating Procedures (SOPs) – SOPs are formal written guidelines or instructions for incident response. SOPs typically have both operational and technical components
- Technology – The technology used to implement interoperable communications is dependent upon existing infrastructure within the region. Multiple technology solutions may be required to support large events.
- Training and Exercises – Proper training and regular exercises are critical to the implementation and maintenance of a successful interoperability solution.
- Usage of Equipment – Usage refers to how often interoperable communication technologies are used. Success in this element is contingent upon progress and interplay among the other four elements on the Interoperability Continuum.

States and Urban Areas should show in their updated strategy how they plan to achieve interoperability on a regional, State, or multi-State level, in support of their efforts to establish integrated regional operational systems. States must refer back to the Interoperability Continuum when reviewing and updating their strategic goals and objectives. For example, if a State is currently implementing a regional interoperable communications network to link rural jurisdictions, it should consider including this as an objective within their strategy. The strategy should also illustrate how the State or Urban Area plans to implement its solution set using the five elements within the Interoperability Continuum and clearly explain how the interoperable communication goal(s) fits into the overall framework of the Continuum.

For further information on this priority:
For information on SLGCP's Interoperable Communications Technical Assistance Program (ICTAP):
http://www.ojp.usdoj.gov/odp/ta_ictap.htm

For information on SAFECOM and the Interoperability Continuum:
http://www.safecomprogram.gov/SAFECOM

F. Strengthen CBRNE Detection, Response, and Decontamination Capabilities

Background of CBRNE Detection, Response and Decontamination Capabilities Priority:
As noted in the National Preparedness Guidance, this National Priority "leverages efforts throughout the government to develop robust capabilities to detect, neutralize, contain, dismantle, and dispose of CBRNE materials, and decontaminate exposed personnel and property." This National Priority links with the "Strengthen Interoperable Communications Capabilities," "Expanded Regional Collaboration," and "Strengthen Information Sharing and Collaboration Capabilities" priorities. Establishing effective detection, response, and decontamination capabilities will require a regional approach; successful detection, response and decontamination operations will necessitate operational integrated regional systems.

How to apply the CBRNE Priority to the 2005 State and Urban Area Homeland Security Strategy Update:
States and Urban Areas are strongly encouraged to review their existing strategies to ensure that their Planning, Organization, Equipment, Training, and Exercise activities (POETE model) support this National Priority. States and Urban Areas should establish plans, organizations, equipment, training and exercises in order to strengthen CBRNE detection, response, and decontamination capabilities. In updating their strategies, States and Urban Areas are encouraged to identify appropriate goals and objectives to effectively enhance CBRNE detection, response, and decontamination capabilities.

Planning and Organization: States are encouraged to formulate mutual aid agreements, both intra-State and inter-State, where appropriate. In addition, States, Urban Areas, and regions are encouraged to review emergency operations plans to recognize areas for improvement in detection, response, and decontamination, and to synchronize those plans across jurisdictional boundaries that support integrated regional operations.

Equipment: States and Urban Areas should review procurement plans to ensure response communities are properly equipped with detection, response, and decontamination equipment. States and Urban Areas are further encouraged to maintain equipment interoperability to ensure that response assets are available in the event of an incident.

Training and Exercise: States and Urban Areas should review training and exercise calendars to make sure that appropriate disciplines are being trained at appropriate levels in a regional approach across disciplines and jurisdictions. States and Urban Areas should further ensure training plans improve CBRNE detection, response, and decontamination capabilities within the State, Urban Area, or region. DHS reminds grantees to utilize the Homeland Security Exercise and Evaluation Program (HSEEP) to measure capabilities and highlight areas for improvement.

For further information on this priority:

CBRNE training available through ODP:

http://www.ojp.usdoj.gov/odp/training.htm

For information on the SLGCP exercise program and HSEEP:
http://www.ojp.usdoj.gov/odp/exercises.htm

For CBRNE detection, response, and decontamination equipment included on the SLGCP
Authorized Equipment List and posted on the Responder Knowledge Base:
www.rkb.mipt.org

G. Strengthen Medical Surge and Mass Prophylaxis Capabilities

Background of Strengthen Medical Surge and Mass Prophylaxis Capabilities Priority:
Establishing an effective medical surge and mass prophylaxis capability requires
embracing a multi-disciplinary and multi-jurisdictional collaborative approach. These
capabilities should be supportive of integrated regional operational systems being
established in support of the expanded regional collaboration priority, and demonstrate
effective integration among public health, healthcare services, and other appropriate
disciplines (e.g., emergency management, emergency medical services, etc.). Much work
in these areas has already been accomplished through programs administered by the U.S.
Department of Health and Human Services (HHS). These accomplishments and ongoing
efforts should be leveraged in further strengthening and broadening medical surge and
mass prophylaxis capabilities.

Medical Surge
As noted in the National Preparedness Guidance, the Nation's healthcare system,
particularly hospitals, must be able to handle large numbers of patients requiring
immediate care following a major incident. Emergency-ready hospitals, working
collectively, must be able to handle different types of injuries, including trauma and
burns, infections, or chemical- or radiation-induced injury. The medical provider
community must have the capability to rapidly accommodate an influx of supplemental
healthcare assets from mutual-aid partners, as well as the State and Federal government.
Additionally, local public health and public safety agencies must develop capabilities and
coordination capacity throughout the local, and regional health and medical community.
Because most of the Nation's medical assets are privately owned, capability-building
must close the public-private gaps, as well as integrate multiple disciplines and levels of
government.

Mass Prophylaxis
As noted in the National Preparedness Guidance, public health threats and emergencies
can ensue from a myriad of infectious agents, some of which can be mitigated by
administration of immunizations and/or antibiotics and antiviral drugs. Although a wide
variation exists among the disease and prophylaxis protocols, they all share a need for
rapid deployment, distribution, and administration of the countermeasures. Local public
health departments have the responsibility to develop and maintain (through exercises
and drills) the capability to carry out first response and ongoing (Federally-assisted) mass

antibiotic dispensing and vaccination campaigns tailored to the local population. States are responsible for providing support and assuring coordinated multi-jurisdictional responses. Federal assets and resources are intended to augment local and regional first response capability.

How to apply the Medical Surge and Mass Prophylaxis Capability Priority to the 2005 State and Urban Area Homeland Security Strategy Update:
States and Urban Areas should examine how they are integrating preparedness activities across disciplines to build and maintain medical surge and mass prophylaxis capabilities. Building and maintaining these capabilities must be a collaborative effort across the State public health and healthcare agencies. Specific attention should be paid to how all available preparedness funding sources can be effectively leveraged in a collaborative manner to support the enhancement of these capabilities. State health, homeland security, and emergency management organizations are encouraged to seek out, coordinate, and collaborate with one another to better understand progress made to date and to scope future activity under this priority. States will be asked to report on how they have integrated their preparedness activities to support building these capabilities, and how they have leveraged various federal assistance programs, including those administered by DHS and HHS in doing so.

For further information on this priority:

Medical Surge
The HHS' Health Resources and Services Administration (HRSA) administers the National Bioterrorism Hospital Preparedness Program (NBHPP). The NBHPP funds state health departments to enhance the ability of hospitals and supporting health care entities (Poison Control Centers, Health Centers, EMS) to prepare for and respond to bioterrorism and other public health emergencies. The NBHPP requires States to report progress in achieving critical benchmarks necessary to promote Statewide and regional surge capacity. For the FY 2005 application, States were required to report proposed activities, timelines and budgets for achieving the critical benchmarks, as well as progress on sentinel indicators to HRSA by July 1, 2005.

Please refer to the Health Resources and Services Administration Mass Casualty website:
http://www.hrsa.gov/bioterrorism/

Mass Prophylaxis
As outlined in the HHS' Centers for Disease Control and Prevention (CDC) FY 2005 Public Health Emergency Preparedness Cooperative Agreement, the Mass Prophylaxis and Vaccination Outcome is for appropriate prophylaxis and vaccination strategies to be implemented in a timely manner upon the onset of an event, with an emphasis on the prevention, treatment, and containment of the disease. Prophylaxis and vaccination campaigns are integrated with corresponding public information strategies.

Three required Critical Tasks have been identified by CDC for this outcome. These three required critical tasks were addressed by State health offices in their FY 2005 applications, which were due to CDC on July 13, 2005. In their application, state health offices will address their plans to continue the implementation of these activities in the next cooperative agreement cycle. The three tasks are:

- Decrease the time needed to dispense mass therapeutics and/or vaccines
- Decrease time to provide prophylactic protection and/or immunizations to all responders, including non-governmental personnel supporting relief efforts
- Decrease the time needed to release information to the public regarding dispensing of medical countermeasures via the jurisdiction's Joint Information Center (JIC) (if JIC activation is needed)

Please refer to the Centers for Disease Control and Prevention, Coordinating Office of Terrorism Preparedness and Emergency Response's website: http://www.bt.cdc.gov/

IV. SUBMISSION OF UPDATED STATE AND URBAN AREA STRATEGIES

The submission of State and Urban Area strategy updates will take on a two-part approach. First, alignment of objectives to the seven National Priorities will be completed in the ODP online Data Collection Tool (DCT) using a simple drop-down feature. The DCT will collect the minimum requirements presented in this document, and build off of the previous State and Urban Area strategy submissions. **The only parts of the strategy required to be submitted in the DCT template are the updated goals and objectives, and the alignment of those goals/objectives to the seven National Priorities.**

In addition, the DCT includes a brief section to gather information about the updated strategy. To help the nation identify future national priorities, states and urban areas are asked to identify 3-5 capabilities from the TCL that represent state/urban area priorities. States and Urban Areas are also asked to provide a brief description of the extent of the strategy update. If States and Urban Areas wish to conduct a more extensive update, they may update other sections of their strategies, though these updates are not required. The DCT will be available in August 2005 for strategy update submissions.

States and Urban Areas will have the opportunity to submit their complete and updated strategies to ODP in a PDF or word document format. The intent of the two-part approach is to capture both quantifiable data on strategic goals and objectives from the DCT and to afford States and Urban Areas flexibility in presenting a complete view of their homeland security efforts. Additional guidance on the new functionality in the DCT and instructions for submission of strategy documents in PDF or word document format will be provided in August.

V. SUMMARY OF REQUIREMENTS

Updated State and Urban Area strategies, goals, and objectives should address the four mission areas – Prevent, Protect, Respond, and Recover – within the context of collaboration, and reflect the seven National Priorities outlined in the National Preparedness Goal and supporting NPG. This is an update to existing strategies; the intent of this guidance is not to require States or Urban Areas to develop an entirely new strategy, but rather to *tailor and update*, as appropriate, existing goals and objectives to support the National Preparedness Goal and seven National Priorities. In addition, States and Urban Areas should ensure that local jurisdictions are afforded an opportunity to participate in the planning process and that citizen preparedness efforts are addressed, as appropriate.

While the main purpose of the update is to align State and Urban Area Homeland Security Strategies with the four mission areas and the seven National Priorities, States and Urban Areas should continue to include additional goals and objectives that reflect specific State and Urban Area priorities.

This year's strategy update will prepare States and Urban Areas to undertake an analytical review of their homeland security programs and capabilities, to be initiated later this year, and support the establishment of the National Preparedness System. In the future, States and Urban Areas will be asked to more completely revise their strategies to address their goals, objectives, mission statements and preparedness vision for 2007-2009.

Strategy Checklist

The checklist provided below may be a helpful tool for States and Urban Areas to use in tracking updates to their strategies. This checklist does not need to be submitted to ODP.

	Yes	No
1. Align the strategic objectives that support State and Urban Area goals to the seven National Priorities. This does not require an update to existing objectives if those objectives already reflect the National Priorities. However, the alignment of those objectives to the National Priorities should be clearly articulated.		
Does the strategy address Regional Collaboration?		
Does the strategy address NIMS and NRP?		
Does the strategy address the Interim NIPP?		
Does the strategy address Information Sharing and Collaboration?		
Does the strategy address Interoperable Communications?		
Does the strategy address CBRNE capabilities?		
Does the strategy address Medical Surge and Mass Prophylaxis Capabilities?		
2. Describe the strategies, goals, and objectives within the framework of the mission areas: Prevent, Protect, Respond, and Recover.		
Does the strategy address prevention?		
Does the strategy address protection?		
Does the strategy address response?		
Does the strategy address recovery?		

3. Local jurisdictions participation in the strategic planning process	Yes	No
Does the strategic planning process include participation from local jurisdictions?		
4. Address citizen preparedness and volunteer efforts	Yes	No
Does the strategy appropriately address citizen preparedness and volunteer efforts?		
5. Regionalization and mutual aid	Yes	No
Does the strategy address regionalization and mutual aid?		
6. Strategy update information	Yes	No
Has the DCT form that addresses additional state/urban area priorities been completed?		
Has the DCT form that addresses the extent to which this strategy has been updated from the State or Urban Area's previously approved strategy been completed?		

VI. GENERAL SUPPORT

ODP has several support mechanisms available to assist States and Urban Areas with updating their strategies, including ODP Preparedness Officers and the Central Scheduling and Information Desk (CSID). ODP Preparedness Officers work closely with State and local officials in assigned States and territories to assist agencies in enhancing their homeland security preparedness. Preparedness Officers will be in continuous contact with the State Administrative Agencies (SAAs) and local officials and should be considered as the primary point of contact within ODP for addressing questions, concerns, general issues, and accessing specialized expertise. The CSID is a non-emergency resource for use by State and local emergency responders across the Nation. The CSID provides general information on all ODP programs. ODP Preparedness Officers and the CSID can each be reached through the CSID at 1-800-368-6498 or askcsid@dhs.gov. CSID hours of operation are from 8:00 a.m. - 7:00 p.m. (EST), Monday-Friday.

APPENDIX A: STATE AND URBAN AREA HOMELAND SECURITY STRATEGY FORMAT AND SUBMISSION

This appendix explains how to format and submit the homeland security strategy. Additional guidance on the new functionality in the Data Collection Tool (DCT) and instructions for submission of strategy documents will be provided in August of 2005.

If a State or Urban Area would like to submit more than the FY 2005 minimum requirements for the strategy update, they may submit their revised strategy using the template in the DCT or by uploading their strategy document in PDF format to the ODP Secure Portal. If a PDF strategy document is submitted, it should, at a minimum, clearly address the following areas: Purpose, Vision, Focus, Coordination, Effort, Description of Jurisdictions, Regionalization and Mutual Aid, Goals, Objectives, Implementation Steps, and Evaluation Plan

Note that several sections that were associated with the FY2003 assessment are no longer required to be included in the strategy. These sections include: Jurisdiction Assessment Process, State Risk Profile, Capabilities and Needs Profile, Annex A: List all jurisdictions, Annex B: Jurisdiction Prioritization List, and Annex C: State Implementation Plan for Development of the SHSS.

I. PURPOSE, VISION, FOCUS AND COORDINATION

A. Purpose
This section includes the purpose of the strategy and the proposed outcome. The development of a strategy is usually driven by what the State or Urban Area is trying to accomplish. A strategy is all encompassing because it answers the question – "What will success look like?" It should be realistic and credible, well articulated, and easily understood by members of the SAA, Urban Area, regions, jurisdictions, and localities.

B. Vision
A vision is a guiding image or statement that should orient the State or Urban Area's energies, serve as a guide to action, and challenge and inspire the State, Urban Area, and jurisdictions to want to achieve the State and/or Urban Area goals and the National Preparedness Goal. When developing a vision statement, the State or Urban Area should consider these points:
- The vision should represent the most desirable and feasible condition for the organization to be in to accomplish its mission
- The more realistic and achievable the vision, the better the odds of success
- The greater the commitment to the vision, the better the odds of success
- Vision statements should be succinct, not long narratives

C. Focus
The focus section should describe succinctly how the State or Urban Area intends to achieve its vision and pursue specific action items supporting the homeland security strategy. The State or Urban Area may have as many focus points as they feel necessary to define and achieve the vision. A focus point should directly link to each component of the vision statement. It will guide the State or Urban Area toward achieving its vision and end goals. It should identify resources and systems that are available to support and focus the State or Urban Area's efforts to achieve the vision and goals.

D. Coordination
The coordination section should describe the following:
- The organizational system at the State or Urban Area-level for strategy development and approval
- The process used to complete the strategy to include the decision-making authority
- State and Urban Area efforts to ensure coordination of strategy development among various disciplines and agencies required to fulfill capabilities highlighted in the National Preparedness Goal
- Coordination of local government concerns and Citizen Corps efforts

E. Effort
The Effort section should describe efforts to ensure coordination of strategy development and assessment activities among emergency agencies and disciplines within the State or Urban Area.

F. Description of Jurisdictions
The Description of Jurisdictions section should describe the jurisdictions used throughout the remainder of this strategy and the approving authority at the State or Urban Area level. It should provide the rationale used for determining jurisdictions and explain how your strategy encompasses the entire State or Urban Area.

G. Regionalization and Mutual Aid
Preventing, protecting against, responding to, and recovering from major events (as represented by the National Planning Scenarios) will require that capabilities be drawn from a wide area. The area from which resources will be drawn may or may not expand beyond the current area served by existing regions. States and Urban Areas should examine current regional collaboration efforts and explore new approaches to developing regional capabilities.

To this end, States should describe the structure of its regions and include a description of any inter-state and/or cross-border regional efforts. If the State is not organized into regions, it should describe if and how the State plans to regionalize. The Goal does not mandate that State and local governments adopt a regional governmental structure, but it does require that all levels of government embrace a *regional approach to building capability*. In the context of regionalization, the State should provide a narrative

description of how the state currently uses and plans to use mutual aid to prevent, protect against, respond to, and recover from major events.

<u>Urban Areas should describe how the urban area is integrating and coordinating operations to prevent, protect against, respond to, and recover from major events. It should also describe how mutual aid is leveraged.</u>

II. GOALS, OBJECTIVES, AND IMPLEMENTATION STEPS

The State or Urban Area objectives should be aligned to the seven National Priorities and the National Preparedness Goal. The implementation steps should be tasks or action steps that support and achieve the State and Urban Area goals and objectives. Again, the intent of this guidance is not to require States or Urban Areas to write new goals and objectives, but rather to *tailor and update*, if necessary, existing goals and objectives to support the National Preparedness Goal and seven National Priorities. In addition to the priority alignment, other issues that should be addressed in State and Urban Area goals, objectives, and/or implementation steps include local government concerns and Citizen Corps efforts. As always, the State and Urban Area Homeland Security Strategies should continue to address other issues that may be outside the scope of the National priorities such as border security concerns, agro-terrorism, or other unique issues specific to the State or Urban Area preparedness efforts.

Alignment of objectives to the seven National Priorities will be completed in the DCT using a drop-down feature. The new DCT features will be available in August 2005. Additional guidance on the new functionality in the tool will be forthcoming.

A. Goals

A Strategic Goal is a statement of aim or purpose included in a strategic plan.

A goal is a position that the State or Urban Area wants to achieve regarding an improved level of capability. These goals will help the State and Urban Area achieve its vision, focus on the long term, and broaden their scope of preparedness. The goals for the strategy should be broad statements of intent that relate upward to the vision. Goals orient the vision towards results by forming a basic road map toward the fulfillment of the vision. They identify how a State or Urban Area intends to address its identified critical issues and are designed to drive actions and represent the general end toward which a State or Urban Area is directed.

A comprehensive strategy should contain both broad-based, long-term goals and corresponding short-term objectives that address areas of prevention, protection, response, and recovery enhancements within the State or Urban Area. The homeland security strategies should have at least one goal that addresses each of the following areas: Prevention, Protection, Response, and Recovery (as defined earlier in the strategy guidance). Given that a State or Urban Area's ability to achieve its goals represents

success, the quality of the goals and performance against those goals are the primary determinants of an overall successful strategy.

B. Objectives

An Objective[4] *sets a target level of performance over time expressed as a tangible, measurable objective, against which actual achievement can be compared, including a goal expressed as a quantitative standard, value or rate.*

An objective should be:

- Specific, detailed, particular and focused – helping to identify what is to be achieved and accomplished
- Measurable – quantifiable, providing a standard for comparison, and identifying a specific achievable result
- Achievable – the objective is not beyond a State, region, jurisdiction or locality's ability
- Results-oriented – identifies a specific outcome
- Time-limited – a target date exists to identify when the objective will be achieved

State Administrative Agencies (SAA) or Urban Area Working Groups should assess the quality of the strategy's objectives to determine if the measures are meaningful in the context of a specific action item or preparedness effort, the measurement methodology is sound, and the measures can be verified with reliable data. Only if the objectives meet these criteria should they be included in the strategy.

When developing objectives, the State or Urban Area should consider these points:

- For each goal, there should be at least one objective or performance measure to track progress for achieving goals
- Objectives, which have corresponding implementation steps, should be guided by solution areas – Planning, Organization, Equipment, Training, and Exercises – that support achievement of the goal and reduce shortfalls in capabilities
- When objectives are accomplished, they should provide the important steps necessary to achieve the purpose, vision, and goals of the State or Urban Area
- Objectives must reflect State or Urban Area priorities and demonstrate, if applicable, how they link to the seven National Priorities

Due to the importance of objectives and performance measures, the States, Urban Areas, and jurisdictions must agree on appropriate objectives early in the development phase to allow for review with relevant stakeholders, if needed.

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[4] In this document, "objectives" and "performance measures" have similar meanings. The Office of Management and Budget has established definitions for "performance measures" that will be used in this document to describe performance "objectives." See *"Examples of Performance Measures"* at www.whitehouse.gov/omb/part/.

> *Each of the seven National Priorities must be aligned with at least one or more objectives. This is accomplished with a drop-down box in the DCT.*

C. Implementation Steps

The implementation steps provide a road map to the accomplishment of the goals and objectives. It shifts the State and Urban Area's focus from the development of a purpose, vision, goal, and objective to acting upon them. Again, the intent of this guidance is not to require States or Urban Areas to develop new implementation steps, but rather to improve upon or tailor, if necessary, their existing implementation steps.

As discussed previously, each goal must have at least one objective and the objective must be measurable and address a desired capability within each solution area. Once an objective has been established, implementation steps should be constructed that will provide guidance to the State or Urban Area on how the objective will be achieved.

III. EVALUATION PLAN FOR THE HOMELAND SECURITY STRATEGY

To ensure the success of the strategy, the State or Urban Area must guarantee that it has an evaluation plan for monitoring progress, compiling key management information, tracking trends, and keeping the strategy on track. The evaluation plan should outline a process for reviewing and analyzing the steps being taken to achieve the goals and objectives of the strategy as well as determining whether the right elements are being used to measure progress. The review and analysis process enhances the plan's flexibility by providing the opportunity to validate internal and external facts and assumptions and to allow for adaptation and revision as conditions alter.

A review and analysis process should be a part of the normal operations and management of the State or Urban Area. The review and analysis should focus on the steps being taken to achieve the goals and objectives of the strategy as well as determining whether the right elements are being used to measure progress. Measurable goals and objectives are the foundation to determining progress. Goals and objectives that are specific, quantifiable, and time sensitive allow for progress to be measured during the evaluation process. The outcomes of the review and analysis should assist in updating the strategy. [5]

The frequency of review and analysis should be determined by the strategic planning team and the top-level management. Options to consider in designing a review and analysis process include:

- Using the strategy's key elements as a framework for monthly business meetings
- Conducting a formal review and analysis on a quarterly basis
- Conducting an annual review and analysis to reassess and update the entire strategy as necessary (This annual review may also revise and/or modify objectives for the out year of the strategy's time frame)

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[5] For a suggested practice on establishing a process for updating your strategy, please refer to the ODP Program Management Handbook. This handbook will be released in Summer 2005.

- Using an automated tool for tracking progress against the strategy, specifically the goals and objectives
- Incorporating reporting features into an automated tool to allow for periodic reporting
- Forming a review committee, which includes key decision-makers, to review reports and progress being made against goals and objectives on a regular basis

Most revisions that are a result of the review and analysis process focus on objectives, time frames, and measurements.   The core elements of the strategy – the purpose, vision, and goals – rarely change over time.

The State or Urban Area's evaluation plan should include a description of the tools that the State or Urban Area has in place (or will have in place) to evaluate the impact of the homeland security strategy in efforts to develop and maintain capabilities through funded programs and projects. It should also set forth a time frame and process for conducting formal reviews, as described above, and should address the following concerns:

- How often should review and analysis take place?
- What exactly should be reviewed?
- Who will be responsible for performing these reviews?

The State or Urban Area must consider all required reporting requirements when determining the frequency of the review and analysis activities because its homeland security strategy will be require resources (funding, technical assistance, etc.) from more than one source. Existing reporting requirements may be used as a basis for a review and analysis including financial reviews, progress reports, and final administrative reports.

IV. STRATEGY UPDATE SUMMARY

The DCT includes a brief section to gather information about the strategy. To help the nation identify future national priorities, states and urban areas are asked to identify 3-5 capabilities from the TCL that represent state/urban area priorities. States and Urban Areas are also asked to provide a brief description of the extent of the strategy update.