



# The Federal Preparedness Report January 13, 2009



DEPARTMENT OF HOMELAND SECURITY

January 2009

# ADMINISTRATOR'S MESSAGE

I am pleased to submit the Department of Homeland Security (DHS)'s first annual Federal Preparedness Report (FPR), consistent with the requirements specified in Section 652(a) of the Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA), Public Law 109-295. As the Administrator of the Federal Emergency Management Agency (FEMA), my goal for this Report is to set a baseline for our continuing efforts to measure the Nation's preparedness. While the capacity and readiness of the Federal Government to execute its homeland security responsibilities is a central part of the Report, our broader concern is the preparedness of the entire Nation, including all of our homeland security partners. The unifying architecture for the preparedness efforts of DHS and our homeland security partners at all levels is the national preparedness system, as defined by PKEMRA.

The FPR highlights the progress achieved by the national homeland security community over the past five years and provides a national snapshot of current preparedness levels in planning, organization, equipment, training, exercises, and evaluation. We have used the information-gathering process associated with the preparation of this Report as an additional opportunity to identify strengths and challenges to better inform our path forward for the remainder of 2008 and beyond.

The FPR is not a static document, but the result of information-sharing practices and reporting under continuous improvement by the "New" FEMA. In the future, FEMA's National Preparedness Directorate (NPD) will expand current information-sharing channels and use the FPR to provide continual performance assessment on all key preparedness organizations supporting a dynamic national preparedness system, to assess and enhance preparedness of our Federal partners, and to facilitate an expanded preparedness dialogue with our State, tribal, territorial, and local partners.

Sincerely,



R. David Paulison  
Administrator  
Federal Emergency Management Agency

## EXECUTIVE SUMMARY

The Federal Preparedness Report (FPR) provides a snapshot of the state of preparedness in the United States at the end of Fiscal Year 2007. This Report is the first comprehensive review of the combined preparedness efforts of Federal, State, local, tribal, and territorial homeland security partners over the past five years. As directed by Section 652(a) of the Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA), Public Law 109-295—the goal of this Report is to provide a review of *national* preparedness.

This FPR is the first in a series of annual preparedness reports that sets a baseline for future assessments by using lessons learned to institutionalize analytical and data collection processes necessary for routine reporting on all aspects of the national preparedness system.<sup>1</sup> For example, because of limited availability of data, many of the analyses in this edition of the FPR focus on the *outputs* of homeland security partner programs. Future versions will highlight the practical *outcomes* – the tangible effects that occur on the ground.<sup>2</sup> In subsequent editions, FEMA will also integrate the products of initiatives such as the State Preparedness Reports (SPRs) and the Catastrophic Resource Report into a unified presentation of preparedness called the National Preparedness Report.

Finally, FEMA is also working with Federal, State, local, tribal, and territorial partners to develop the next version of the Target Capabilities List (TCL). While the first version of the TCL has provided the Nation with common terminology to discuss capabilities, TCL 2.0 will provide risk-informed measures and metrics to support actual assessment of those capabilities according to specific performance classes.

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<sup>1</sup> The national preparedness system provides a way to organize preparedness activities and programs pursuant to the *National Preparedness Guidelines*. As specified by Section 644 in the Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA), the national preparedness system shall include the following components:

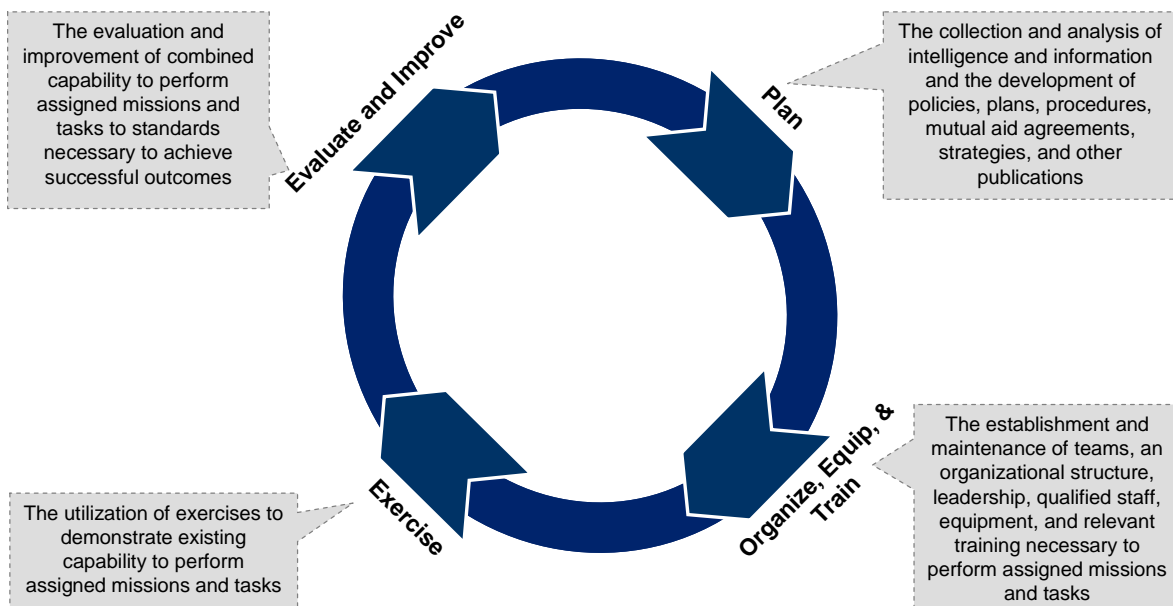
- Target capabilities and preparedness priorities
- Equipment and training standards
- Training and exercises
- Comprehensive assessment system
- Remedial action management program
- Federal response capability inventory
- Reporting requirements
- Federal preparedness

<sup>2</sup> *Outputs* refer to the direct results of programs or initiatives, relative to their specific program objectives. For example, the output measure for a protection program could track miles of fence built per year. *Outcomes* refer to the larger effects of the program or initiative on the overall mission. For example, the target outcome would be reduction of infiltration by unauthorized parties.

As a Nation, we are significantly better prepared for all hazards than we were five years ago. To illustrate this increased level of preparedness, the FPR addresses each of the specific requirements of PKEMRA, assessing preparedness according to two different benchmarks:

1. Progress in building capability towards the National Priorities – the eight priority initiatives identified by the National Preparedness Guidelines (the Guidelines)
2. Progress in building up each of the four, mutually-reinforcing components of the National Preparedness Cycle – Plan; Organize, Equip, and Train; Exercise; and Evaluate and Improve (see Figure i)

Figure i: The National Preparedness Cycle



### Progress in Building Capability towards National Priorities.

The Guidelines establish eight priority areas for national investment and capability building. The following is a summary of accomplishments in each priority area.

- **Expand Regional Collaboration.** States and urban areas have allocated more than \$1 billion of homeland security grant funds to improve regional collaboration since FY 2004. In addition, the Department of Homeland Security (DHS) is currently empowering FEMA’s regional offices to support regional collaboration initiatives through, among other means, the deployment of Federal Preparedness Coordinators (FPCs).
- **Implement the National Incident Management System (NIMS) and the National Response Framework (NRF).** The Nation today operates on a common incident management system: Over 96

percent of States and nearly all reporting Federal departments/agencies assessed themselves as fully compliant with NIMS standards. The majority of States and urban areas reported having plans that are fully or partially adequate to respond to a catastrophic incident. The successor to the National Response Plan, the National Response Framework, was developed in close consultation with homeland security partners and has been broadly accepted.

- ***Implement the National Infrastructure Protection Plan (NIPP).*** DHS and partner implementation accomplishments include completion of specific plans for each of the 18 critical infrastructure sectors, implementation of chemical security regulations, and the evaluation of almost two-thirds of the Nation's passenger and mass transit systems. In terms of planning, all 50 States have established Basic Hazard Mitigation Plans. By the end of FY 2007, Buffer Zone Protection Plans (BZPPs) had been implemented at over 90 percent of high-priority sites.
- ***Strengthen Information Sharing and Collaboration Capabilities.*** Fifty-seven intelligence fusion centers have been established across 45 States. More than \$1 billion of grant funds have been allocated to increase information sharing and collaboration. At the Federal level, the President issued the National Strategy for Information Sharing to prioritize and unify the Nation's efforts to advance the sharing of terrorism-related information. The Strategy sets forth a plan to establish a national Information Sharing Environment (ISE).
- ***Strengthen Interoperable and Operable Communications.*** Seventy-five urban and metropolitan areas effectively established regional interoperability by the end of FY 2007 as demonstrated through exercised Tactical Interoperable Communications Plans (TICPs). DHS has provided interoperability guidance, tools, and templates through the SAFECOM program to State, local, tribal, and territorial emergency response agencies. Moreover, States and urban areas have allocated over \$2.8 billion in homeland security grant funds since FY 2004 to support interoperable communications.
- ***Strengthen Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE) Detection, Response & Decontamination Capabilities.*** States and urban areas have allocated nearly \$2.1 billion of homeland security grant funds to improve their CBRNE capabilities since FY 2004. DHS deployments of CBRNE detectors include 527 biological monitors in major urban areas, 1,062 radiation portal monitors along the northern and southern borders and seaports, and more than 21,000 personal radiation detectors. In addition, DHS has provided nuclear detection and radiological training to 2,041 law enforcement officials.
- ***Strengthen Medical Surge and Mass Prophylaxis Capabilities.*** Department of Health and Human Services (HHS) grant and cooperative agreement funding has supported State initiatives to:

develop and exercise pandemic response plans; improve surge capacity and enhance community and hospital preparedness for public health emergencies; and build healthcare partnerships to improve hospital and emergency department surge capacity. HHS has invested heavily in medical countermeasures for the Strategic National Stockpile (SNS), including vaccines for smallpox and anthrax as well as antiviral courses for pandemic influenza.

- ***Strengthen Planning and Citizen Preparedness Capabilities.*** States and urban areas have allocated \$140 million of homeland security grant funds toward the priority of strengthening community preparedness. The Federal Government has further supported citizen preparedness through the creation of USA Freedom Corps and the further expansion of Citizen Corps. Nationwide reports indicate that the percentage of the population covered by Citizen Corps Councils is 78 percent or higher.

**Progress in Implementing the Preparedness Cycle.** The Preparedness Cycle is a set of interrelated functions that cohesively contribute to the current state of preparedness. Although each part is an important contributor to preparedness, true progress requires deliberate, coordinated advances in all four areas. Over the past five years, DHS and its homeland security partners have bolstered the Nation's preparedness foundation through significant progress in the areas of Plan and Exercise. Moreover, DHS and its partners have made very substantial investments in the Organize, Equip, and Train areas. However, we have had less success in the Evaluate and Improve area where the lack of risk-informed performance measures, data, and analytical approaches has hampered our ability to assess the effectiveness of our investments and preparedness efforts.

The following section considers progress in each part of the National Preparedness Cycle in detail.

- ***Plan.*** Through the NIMS, the National Strategy for Homeland Security, the NRF, the NIPP, and the Guidelines, we have successfully built the core national doctrine and plans necessary to unify efforts across Federal, State, local, tribal, and territorial levels of government. Among our accomplishments, we have:
  - Created a common incident management framework—the NIMS—and successfully implemented it across the Nation;
  - Contributed to a revised National Strategy for Homeland Security to account for our improvements in preparedness as well as the evolving nature of the challenge;
  - Provided national guidance on eight preparedness priorities through the Guidelines;
  - Developed a national nomenclature and performance measures for capabilities through the TCL;

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- Established a common framework – the NRF – to guide national responses;
  - Created the Integrated Planning System (IPS) for homeland security planning across the Federal government and, ultimately, across State, local, tribal, and territorial levels of government;
  - Developed and implemented the NIPP, which is integrating critical infrastructure and key resources protection efforts across all levels of government and the private sector; and
  - Undertaken a joint planning effort with Gulf Coast states to improve regional plans for mass evacuation in the face of hurricanes and other hazards.
- **Organize, Equip, & Train.** We have made substantial investments in this area. Among the accomplishments, DHS:
    - Provided over \$22.7 billion that States and urban areas have used to build capabilities, with a focus on the National Priorities; and
    - Supported the expansion of national standards for homeland security equipment and training.

DHS is currently involved in:

- Developing a Homeland Security National Training Program (HSNTP) while building a national network of more than 60 training partners; and
  - Increasing the number of pre-scripted mission assignments (PSMAs) and the inventorying of Federal response assets.
- **Exercise.** In one of our most significant accomplishments, DHS has stood up a comprehensive National Exercise Program (NEP). The NEP has become the core of homeland security validation-oriented activities at all levels of government as well as with the private sector and non-governmental organizations. This program is built upon a national doctrine for exercise and evaluation, the Homeland Security Exercise and Evaluation Program (HSEEP). In addition, DHS directly supported or participated in nearly 600 exercises since FY 2005, including three Top Officials (TOPOFF) full-scale exercises since FY 2003.
  - **Evaluate and Improve.** Despite notable progress in key evaluation and improvement systems, overall our performance in the Evaluate and Improve area has lagged behind the other three parts of the Preparedness Cycle. Over the past decade, FEMA and DHS have developed and implemented several systems and processes to measure, track, and assess preparedness. Several of these systems are duplicative, while others provide unique and potentially complementary information. FEMA is currently reviewing the methods by which it assesses capability, and will integrate a number of different evaluation and improvement systems in order to stand up the PKEMRA-mandated comprehensive assessment system.

**Way Forward.** This FPR is the first step in establishing a routine, continuing assessment of the state of national preparedness. FEMA is organizing its efforts to collect and assess FPR-relevant data on a continuing basis. These efforts will not only assist in describing our current state of preparedness, but, more important, will support the evaluation of the returns on our investments and the identification of potential preparedness improvements.

To these ends, DHS is requiring all of its offices to provide routine, consistent data according to PKEMRA requirements. In addition, DHS is initiating routine data calls with its Federal Interagency Partners. As noted above, DHS will also integrate the results of other analyses – such as the SPRs and Catastrophic Resource Report – into a comprehensive preparedness picture. In all cases, DHS and its partners will emphasize new measures and data that explain preparedness outcomes, not just outputs. Furthermore, DHS is improving the TCL to serve as the long-term solution to measuring preparedness of specific capabilities at all levels of the Nation, which will assist DHS to more accurately assess and report on national preparedness in the future.



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## INTRODUCTION

Section 652(a) of the Department of Homeland Security Appropriations Act, 2007 (Public Law 109–295)—mandated an annual Federal Preparedness Report (FPR) “on the Nation’s level of preparedness for all hazards, including natural disasters, acts of terrorism, and other man-made disasters.” Specifically, PKEMRA (as amended by the 9/11 Act—Public Law 110–53, Title IV, Section 406) requires the FPR to include:

- An assessment of how Federal assistance supports the national preparedness system.
- The results of the assessments carried out by the comprehensive assessment system.
- A review of the inventory contained in the Federal Response Capabilities Inventory.
- An assessment of the resources needed to meet the Preparedness Priorities, including:
  - An estimate of the amount of Federal, State, tribal, territorial, and local expenditures required to attain the Preparedness Priorities.
  - The extent to which the use of Federal assistance during the preceding year achieved the Preparedness Priorities.
- An evaluation of the extent to which grants and cooperative agreements have contributed to the progress of State, tribal, territorial, and local governments in achieving target capabilities and have led to the reduction of risk.
- A discussion of whether the Federal Response Inventory contains a list of credentialed personnel that complies with the Strategic Human Capital Plan and is sufficient to respond to a disaster.

Collectively, these requirements call for a comprehensive analysis of *national preparedness*—answering the question, how prepared is the Nation to prevent, protect against, respond to, and recover from all hazards?

The Federal Emergency Management Agency (FEMA)’s National Preparedness Directorate (NPD) supports and is implementing the PKEMRA intention that the FPR should be a central part of national preparedness. Rather than periodically updating a static document, NPD is working with its Department of Homeland Security (DHS) partners to orient DHS reporting policies and procedures to support a living reporting mechanism that will provide an up-to-date resource on the current state of preparedness. This living FPR will be used:

- By FEMA offices to provide continual performance assessments;

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- As the basis for preparedness assessment of DHS as well as its Federal partners; and
- As the foundation for an expanded preparedness dialogue between DHS and State, tribal, territorial, and local partners.

In developing the FPR, NPD has organized the Report not only to provide a snapshot of the state of preparedness across the Nation, but also to explicitly examine preparedness goals, definitions, measures, and relationships—some of which as yet are not fully mature. Thus, in addition to the FPR being oriented toward illustrating the Nation's preparedness posture, it is also intended to spur the enhancement and codification of an effective preparedness infrastructure (i.e., the national preparedness system), as well as measure the readiness of individual capabilities or assets.

The FPR reflects an acknowledgement that success in preparedness typically depends upon unity of effort among all homeland security stakeholders as well as the grounding of those efforts in an integrated and results-oriented system. Although the preparedness of Federal departments and agencies is a significant part of the answer, it is of course not the only part. Rather, national preparedness is a shared enterprise involving Federal, State, tribal, territorial, and local partners. In addition, preparedness involves partners outside of government, including the private sector, nongovernmental organizations, and communities. Therefore, notwithstanding its title, this FPR and its follow-on Reports will strive to examine the readiness and capacities of all of these players in order to develop an accurate, comprehensive picture of national preparedness.

**The Logic of FPR Data Collection and Analysis.** Several key components of the national preparedness system are still works in progress, and not all data required for the FPR are currently available. Consequently, a number of situations exist where this first FPR can provide neither perfect data nor perfect insights. For example, standards for reporting of operational readiness are still under development. The first round of State Preparedness Reports (SPRs)—PKEMRA-mandated State-level evaluations of preparedness—had not yet arrived when this Report went into production. In other cases, DHS does not possess the authority to compel the submission of important data from other Federal homeland security partners.

Recognizing the urgency of measuring preparedness now, rather than waiting for a perfect future solution, for this version of the FPR, FEMA/NPD has maximized the use of data that are available *today*. To present the most accurate picture possible, FEMA/NPD used the best available data and followed the spirit of PKEMRA, even when available data could not support the complete fulfillment of specific PKEMRA requirements. As a result, many of the data sources used for this FPR are best suited for explaining the *outputs* of our national efforts while fewer are suited for explaining

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*outcomes*.<sup>3</sup> For this FPR, measurement of progress in preparedness is often limited to assessments of the amount of resources invested towards particular goals. When comprehensive numeric outcome data are not available, this Report emphasizes narrative details of preparedness.

Working with its homeland security partners, FEMA/NPD is committed to improving the quality and relevance of data—as well as resulting analyses—in subsequent versions of the FPR. Future versions will benefit from new sources—such as the SPRs—as well as new or refined measures and metrics. Ultimately, the PKEMRA-mandated comprehensive assessment system will provide the means to systematically collect and analyze preparedness information.

Finally, as a report covering preparedness developments since DHS stood up five years ago, this FPR necessarily will be larger in scope than future editions. In particular, this FPR assesses preparedness by using information from the preceding five years. Subsequent editions of the FPR will be oriented towards focus areas as well as updates of developments from the previous year.

## ORGANIZATION OF THE REPORT: THE NATIONAL PREPAREDNESS CYCLE

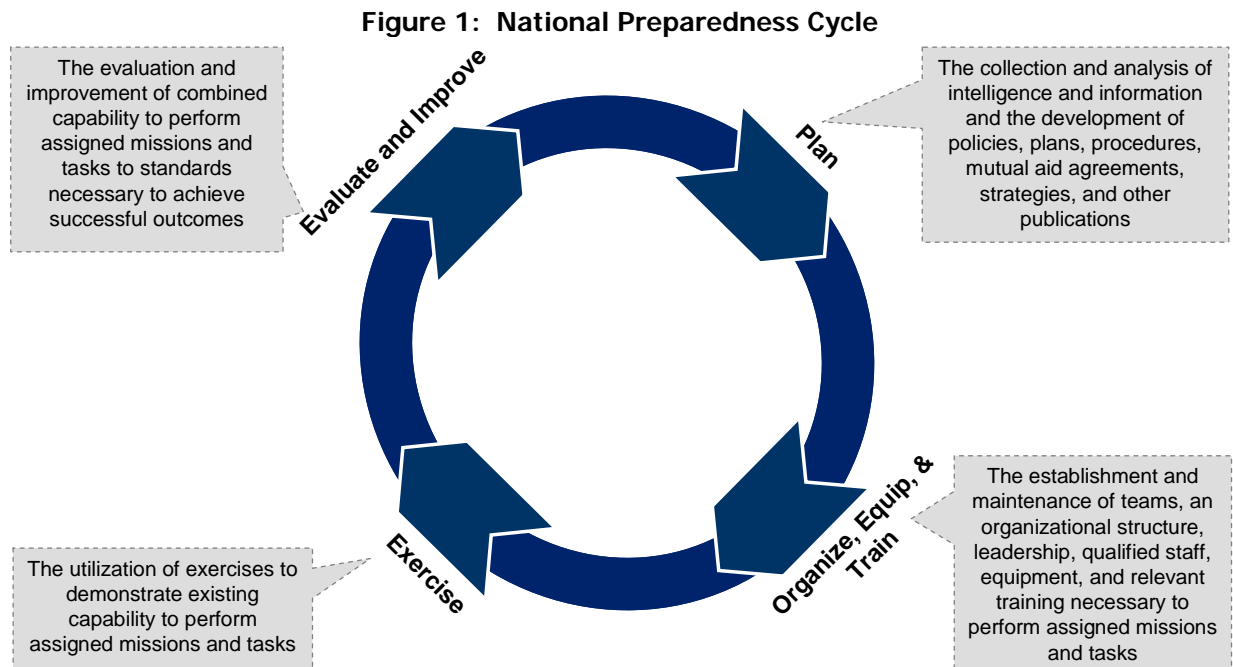
The 2006 White House report “The Federal Response to Hurricane Katrina: Lessons Learned,” called for a transformation in the way the Nation provides for homeland security. In particular, the Katrina Report called for the establishment of a national preparedness system—a system of integrated plans, doctrine, guidelines, capabilities, training and exercises, evaluation, and improvement that links together the Nation’s homeland security partners. PKEMRA Section 644 took this recommendation further by defining the constituent elements of the national preparedness system as:

1. Target capabilities and preparedness priorities
2. Equipment and training standards
3. Training and exercises
4. Comprehensive assessment system
5. Remedial action management program
6. Federal response capability inventory
7. Reporting requirements

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<sup>3</sup> *Outputs* refers to the direct results of programs or initiatives, relative to their specific program objectives. For example, the output measure for a protection program might be miles of fence built per year. *Outcomes*, on the other hand, refers to the larger effects of the program or initiative on the overall mission. Taking the miles of fence example, the target outcome would be reduction of infiltration by unauthorized parties.

8. Federal preparedness<sup>4</sup>



NPD uses the Preparedness Cycle and specific PKEMRA requirements as the organizing construct for the FPR. As described most recently in the National Response Framework (NRF), the Preparedness Cycle (Figure 1) provides a functional perspective of the key activities in the national preparedness system:

- **Plan.** The collection and analysis of intelligence and information and the development of policies, plans, procedures, mutual aid and assistance agreements, strategies, and other publications.
- **Organize, Equip, and Train.** The establishment and maintenance of teams, an organizational structure, leadership, qualified staff, equipment, and relevant training necessary to perform assigned missions and tasks.
- **Exercise.** The utilization of exercises to assess and validate capabilities, policies, plans, and procedures.
- **Evaluate and Improve.** The evaluation and improvement of combined capability to perform assigned missions and tasks to standards necessary to achieve successful outcomes.<sup>5</sup>

Use of the Preparedness Cycle to organize our thinking about preparedness emphasizes the importance of unity of effort and integration of the various

<sup>4</sup> In addition, PKEMRA notes that the national preparedness system may include National Planning Scenarios. For more information, see the NRF (pp. 73-75).

<sup>5</sup> NRF, p. 27.

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preparedness elements. For example, success in the Organize, Equip, and Train area is not likely to translate into concrete preparedness improvements unless it is integrated with plans, doctrine, and guidance in the Plan area.

The FPR's organization addresses each specific PKEMRA requirement through the relevant part of the Preparedness Cycle. In some cases, a particular PKEMRA requirement might be addressed in multiple parts of the FPR. The box below provides an overview of the organization of the FPR as well as the location of sections addressing specific PKEMRA requirements throughout.

In addition to the six requirements specific to the FPR, PKEMRA Subtitle C, Chapter 1 includes numerous other requirements related to the national preparedness system. This version of the FPR both fulfills FPR-specific requirements and reports on FEMA's progress in fulfilling these other broad preparedness requirements mandated by PKEMRA.

Each of the four sections of the main body of the FPR includes clear indication of the PKEMRA requirements they address. Wherever appropriate, the FPR describes the background of the specific requirement and assesses the state of preparedness based on data currently available.

<b>Plan</b> <ul style="list-style-type: none"><li>• § 643</li><li>• § 645</li><li>• § 646 (a-e)</li><li>• § 652 (a) (2) (A)</li><li>• § 652 (a) (2) (B)</li><li>• § 652 (a) (2) (D)</li><li>• § 652 (a) (2) (E)</li><li>• § 653 (a) (2)</li></ul>	<b>Exercise</b> <ul style="list-style-type: none"><li>• § 648</li><li>• § 652 (a) (2) (A-B)</li></ul>
<b>Organize, Equip, and Train</b> <ul style="list-style-type: none"><li>• § 646 (f)</li><li>• § 647</li><li>• § 648 (a)</li><li>• § 651</li><li>• § 652 (a) (2) (A-B)</li><li>• § 652 (a) (2) (C)</li><li>• § 652 (a) (2) (D)</li><li>• § 652 (a) (2) (E)</li><li>• § 653 (a) (3)</li><li>• § 653 (c)</li></ul>	<b>Evaluate and Improve</b> <ul style="list-style-type: none"><li>• § 649</li><li>• § 650</li><li>• § 652 (a) (2) (A)</li><li>• § 652 (a) (2) (B)</li></ul>

## PRINCIPAL FPR FINDINGS

The FPR provides a snapshot of the state of national preparedness five years after the establishment of DHS. Across the board, this FPR demonstrates that the Nation is “Better Prepared” as a result of Federal, State, tribal, territorial, and local collective preparedness efforts.

While addressing each of the specific requirements of PKEMRA, the FPR assesses preparedness according to two different benchmarks:

1. Progress in building capability towards the National Priorities – the eight priority initiatives identified by the National Preparedness Guidelines (the Guidelines)
2. Progress in building up each of the four, mutually-reinforcing components of the National Preparedness Cycle – Plan; Organize, Equip, and Train; Exercise; and Evaluate and Improve

### **Progress in Building Capability towards National Priorities.**

The Guidelines establish eight priority areas for national investment and capability building. The following is a summary of accomplishments in each priority area.

- ***Expand Regional Collaboration.*** Since FY 2004, States and urban areas have allocated nearly \$1.1 billion of homeland security grant funds to improve regional collaboration. In addition, DHS is currently empowering the regional offices of its components to further support regional collaboration initiatives.
- ***Implement the National Incident Management System (NIMS) and the National Response Framework.*** The Nation today operates on a common incident management system: Over 96 percent of States and nearly all reporting Federal departments/agencies assessed themselves as fully compliant with NIMS standards. The majority of States and urban areas reported having plans that are fully or partially adequate to respond to a catastrophic incident. The successor to the National Response Plan, the National Response Framework, was developed in close consultation with homeland security partners and has been broadly accepted.
- ***Implement the National Infrastructure Protection Plan (NIPP).*** DHS and partner implementation accomplishments include completion of specific plans for each of the 18 critical infrastructure sectors, implementation of chemical security regulations, and the evaluation of almost two-thirds of the Nation’s passenger and mass transit systems. In terms of planning, all 50 States have established Basic Hazard Mitigation Plans. By the end of FY 2007, Buffer Zone Protection Plans (BZPPs) had been implemented at over 90 percent of high-priority sites.



- ***Strengthen Information Sharing and Collaboration Capabilities.*** Fifty-seven intelligence fusion centers have been established across 45 States. More than \$1 billion of grant funds have been allocated to information sharing and collaboration. At the Federal level, the President issued the National Strategy for Information Sharing to prioritize and unify the Nation's efforts to advance the sharing of terrorism-related information. The Strategy sets forth a plan to establish a national Information Sharing Environment (ISE).
- ***Strengthen Interoperable and Operable Communications.*** Through exercised Tactical Interoperable Communications Plans (TICPs), by the end of FY 2007 75 urban and metropolitan areas had effectively established regional interoperability. Through the SAFECOM program, DHS has provided interoperability guidance, tools, and templates to State, local, tribal, and territorial emergency response agencies. Using homeland security grant funds, States and urban areas have allocated over \$2.8 billion since FY 2004 to support interoperable communications.
- ***Strengthen Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE) Detection, Response, & Decontamination Capabilities.*** Since FY 2004, States and urban areas have allocated nearly \$2.1 billion of homeland security grant funds to improve their CBRNE capabilities. DHS deployments of CBRNE detectors include 527 biological monitors in major urban areas, 1,062 radiation portal monitors along the northern and southern borders, and more than 21,000 personal radiation detectors. In the training arena, DHS has provided nuclear detection and radiological training to 2,041 law enforcement officials.
- ***Strengthen Medical Surge and Mass Prophylaxis Capabilities.*** Department of Health and Human Services (HHS) grant and cooperative agreement funding has supported State initiatives to: develop and exercise pandemic response plans; improve surge capacity and enhance community and hospital preparedness for public health emergencies; and build healthcare partnerships to improve hospital and emergency department surge capacity. HHS has invested heavily in medical countermeasures for the Strategic National Stockpile (SNS), including vaccines for smallpox and anthrax as well as antiviral courses for pandemic influenza.
- ***Strengthen Planning and Citizen Preparedness Capabilities.*** States and urban areas have allocated nearly \$140 million of homeland security grant funds toward the priority of strengthening planning and community preparedness over the FY 2004 – FY 2007 period. The Federal Government has further supported community preparedness through the creation of Citizen Corps and the Ready Campaign. Nationwide reports indicate that 78 percent of the U.S. population is covered by the 2,340 local and tribal Citizen Corps Councils currently in operation.

**Progress in Implementing the Preparedness Cycle.** The Preparedness Cycle is a set of interrelated functions that cohesively contribute to the current state of preparedness. Although each part is an important contributor to preparedness, true progress requires deliberate, coordinated advances in all four areas. Over the past five years, DHS and its homeland security partners have bolstered the Nation's preparedness foundation through significant progress in the areas of Plan and Exercise. DHS and its partners have made very substantial investments in the Organize, Equip, and Train area. We have had less success in the Evaluate and Improve area where the lack of powerful measures, data, and analytical approaches has hampered our ability to assess the effectiveness of our investments and efforts.

The following section considers progress in each part of the Preparedness Cycle in detail.

**Plan.** There has been steady progress in the development and institutionalization of the various priority elements of the **Plan** area. Among the many accomplishments, DHS and its homeland security partners have:

- Created a common incident management framework—the NIMS—and successfully implemented it across the Nation;
- Contributed to a revised National Strategy for Homeland Security to account for our improvements in preparedness as well as the evolving nature of the challenge;
- Provided guidance for the entire Nation to orient efforts around eight common preparedness priorities;
- Developed common nomenclature and performance measures for specific, common capabilities across the Nation;
- Established a common framework to guide national response efforts through the National Response Plan (NRP) and, more recently, the NRF;
- Created the Integrated Planning System (IPS) for homeland security planning across the Federal government and, ultimately, across State, local, tribal, and territorial levels of government;
- Developed and implemented a NIPP that is integrating critical infrastructure and key resources (CIKR) protection efforts across all levels of government and the private sector; and
- Undertaken a joint planning effort with Gulf Coast states to improve regional plans for mass evacuation in the face of hurricanes and other hazards.

**Organize, Equip, and Train.** Substantial investments have been made in homeland security capacity at the Federal, State, tribal, territorial, and local levels as referenced in the **Organize, Equip, and Train** area. The

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Organize, Equip, and Train area is the focus of perhaps the greatest volume of preparedness activity over the past five years. Among the many preparedness accomplishments in this area:

- Provided over \$22.7 billion that States and urban areas have used to build capabilities, with a particular focus on the National Priorities.
- DHS is developing a Homeland Security National Training Program (HSNTP) while building a national training network involving over 70 training partners.
- Both directly and through independent partners such as the InterAgency Board for Equipment Standardization and Interoperability (IAB), DHS has supported the expansion of national standards for homeland security equipment and training.
- DHS and its Federal partners have collaborated on increasing the number of pre-scripted mission assignments (PSMAs) and the inventorying of Federal response assets.

**Exercise.** DHS has achieved outstanding success in standing up a comprehensive national program of homeland security exercises as noted in the **Exercise** category. Some specific accomplishments are:

- DHS stood up the National Exercise Program (NEP), which has become the core of homeland security validation-oriented activities at all levels of government as well as with the private sector and nongovernmental organizations.
- DHS supported directly or participated in over 600 exercises since FY 2005.
- DHS directly administered three Top Officials (TOPOFF) full-scale exercises since 2002, involving multiple States, urban areas, foreign countries, and Interagency partners across the Federal Government.
- DHS implemented national doctrine for exercises and evaluation through the Homeland Security Exercise and Evaluation Program (HSEEP).

**Evaluate and Improve.** The **Evaluate and Improve** area is the least mature element of the national preparedness system. As described below, national evaluation and corrective action is composed of a wide range of systems and approaches with varying levels of integration. Improving this integration in order to create the PKEMRA-mandated comprehensive assessment system represents a top priority for FEMA/NPD in the coming year.

However, as noted above, given the state of data collection, systems of measurement, and the evolving nature of the national preparedness system, we are stronger at demonstrating progress from past preparedness levels

## INTRODUCTION

than in showing progress toward a collectively identified and articulated optimal end-state of national preparedness.

## WAY FORWARD

This FPR is a first step in establishing a routine, continuing assessment of the state of national preparedness. Rather than treating the Report simply as an annual requirement for Congress, FEMA's NPD is organizing its efforts to collect and assess FPR-relevant data on a continuing basis. These efforts will not only assist in describing our current state of preparedness, but, more important, they will support the assessment of returns on our investments and the identification of potential preparedness improvements.

To these ends, NPD is requiring all of its offices to provide routine, consistent data according to PKEMRA requirements. In addition, NPD is initiating routine data calls with other DHS components and the Federal Interagency. Furthermore, as noted above, NPD will integrate the results of other analyses – such as the SPRs and Catastrophic Resource Report – into a comprehensive preparedness picture. In all cases, NPD and its partners will emphasize new measures and data that explain preparedness outcomes, not just outputs.

Finally, while undertaking these improvements NPD will be revising the Target Capabilities List (TCL) to serve as the long-term solution to measuring preparedness of specific capabilities at all levels of the Nation. The revised and improved TCL will be built upon clear measures that indicate the state of preparedness for each capability. Through collaboration among Federal, State, local, tribal and territorial partners, each capability will also include a defined target. By measuring the difference between our current state and these targets, DHS and its partners will have the necessary guidance to improve preparedness

# PLAN

Preparedness activities under the Plan category relate to the collection and analysis of intelligence and information and the development of policies, plans, procedures, mutual aid and assistance agreements, strategies, and other publications.



The Plan section addresses how DHS and its Federal partners support the national preparedness system through supporting doctrine, guidance, and plans. Furthermore, the Plan section assesses the degree to which these policies, plans, procedures, and related efforts have been adopted across the Nation. The next section—Organize, Equip, and Train—addresses the degree to which these efforts are supported by operational capabilities.

The Plan section provides:

- **An assessment of how Federal assistance supports the National Preparedness System (PKEMRA §652 (a) (2) (a).**
- **An explanation how the National Preparedness System is supported by a framework of doctrine, guidance, and plans, such as:**
  - Homeland Security Presidential Directives
  - The National Preparedness Guidelines
  - The National Incident Management System (NIMS)
  - The National Response Framework (NRF)
  - The National Planning Scenarios
  - The Target Capabilities List (TCL)
  - The Preparedness Priorities

## OVERVIEW OF FINDINGS: PLAN

DHS has successfully established strategic plans and guidance that lay the foundation for coordinated, complementary operational and tactical plans at all levels of government. In particular, over the past five years DHS and its homeland security partners have built the top-level policies, guidance, and doctrine for the national preparedness system. These efforts provide the foundation for unity of effort both horizontally across the Federal Interagency and vertically through Federal, State, tribal, territorial, and local levels.

Among many accomplishments in this area, DHS and its partners have:

- Created a common incident management framework—the NIMS—and successfully implemented it across the Nation;
- Contributed to a revised National Strategy for Homeland Security to account for our improvements in preparedness as well as the evolving nature of the challenge;
- Developed and released a new National Strategy for Homeland Security;
- Provided guidance for the entire Nation to orient its efforts around eight common preparedness priorities;
- Developed common nomenclature and performance measures for specific, common capabilities across the Nation;
- Established a common framework to guide national response efforts through the NRP and, more recently, the NRF;
- Created the Integrated Planning System (IPS) for homeland security planning across the Federal government and, ultimately, across State, local, tribal, and territorial levels of government;
- Developed and implemented a NIPP that is integrating CIKR protection efforts across all levels of government and the private sector; and
- Undertaken a joint planning effort with Gulf Coast states to improve regional plans for mass evacuation in the face of hurricanes and other hazards.

Finally, DHS is working with Federal, State, local, tribal, and territorial partners to develop a common culture and approach to planning. DHS is currently leading a collaborative effort for developing and institutionalizing an Integrated Planning System (IPS) to create a common framework for homeland security planning. Through initiatives such as the Nationwide Plan Review and TICPs, among others, the Department has developed a collaborative approach to setting the requirements for as well as actually implementing planning activities. Furthermore, through the planning aspect of National Priorities and the emphasis in the Homeland Security Grants

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process, DHS is providing the means for homeland security partners to build their planning capabilities.

## NATIONAL PLANNING INITIATIVES

An interrelated set of Presidential directives compose the overarching framework governing how the Nation prepares to prevent, protect against, respond to, and recover from major incidents. This section describes the numerous plans, strategies, and systems that DHS and its partners have established to support these directives and how these planning initiatives create a framework for national preparedness.



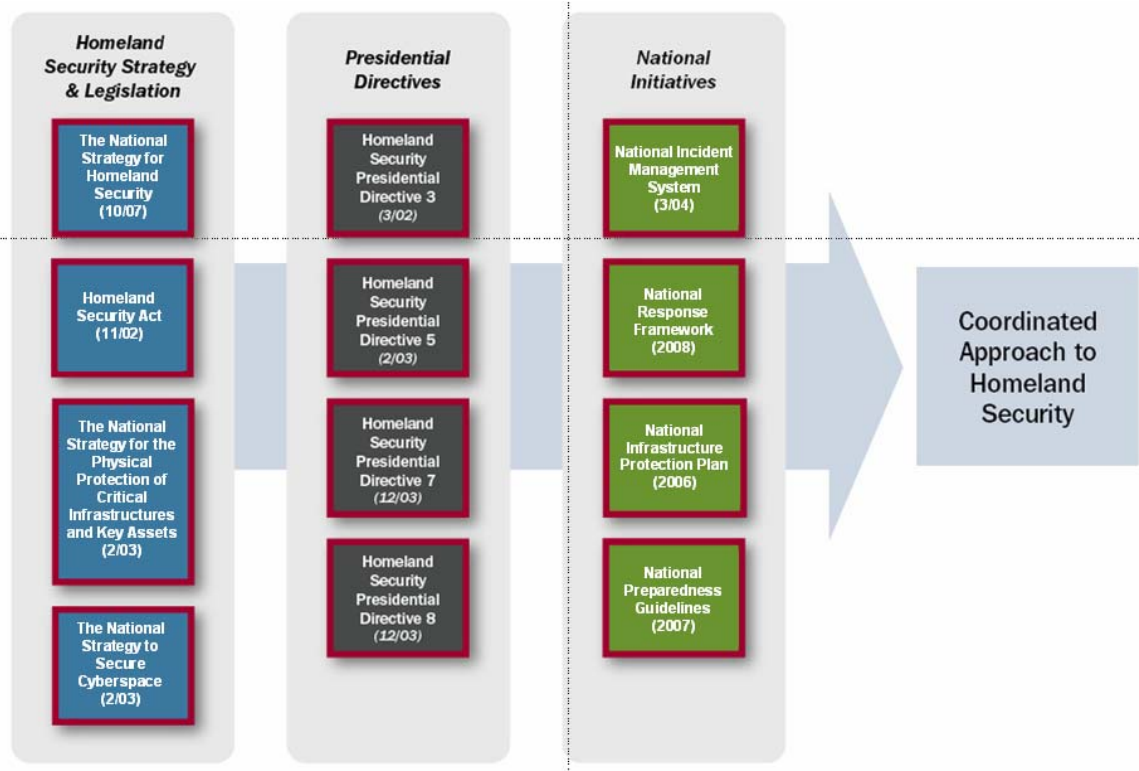
The National Strategy for Homeland Security, National Preparedness Guidelines, NIMS, NRF, and NIPP provide the doctrinal and strategic foundation for the national preparedness system through the establishment of key principles, objectives, and structures.

- The National Strategy provides the common framework to organize the Nation around the four goals of a) prevent and disrupt terrorist attacks; b) protect the American people, our critical infrastructure, and key resources; c) respond to and recover from incidents that do occur; and d) continue to strengthen the foundation to ensure our long-term success.
- The Guidelines delineate readiness targets, priorities, and standards for preparedness assessments.
- NIMS forms the backbone of the national response doctrine, including an Incident Command System (ICS) and overall management structure.
- The NRF strengthens the foundation for an effective national response.
- The NIPP provides coordinating guidance for critical infrastructure protection programs and activities.

As Figure 2 demonstrates (see next page), the Guidelines and corresponding planning documents are interrelated, providing a cohesive doctrine to implement the Homeland Security Strategy.



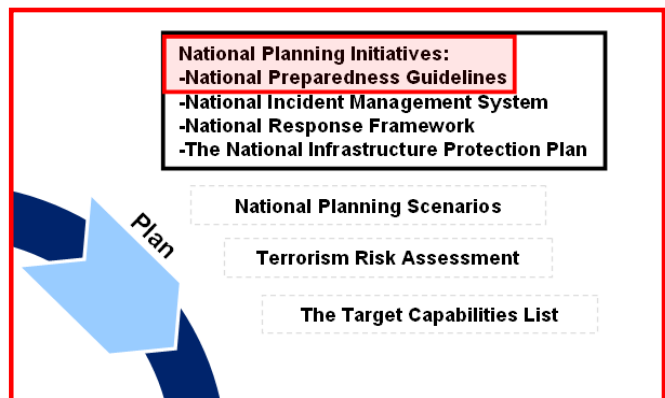
Figure 2: DHS Approach to Homeland Security Strategy



**The National Preparedness Guidelines.** DHS released the

Guidelines in September 2007. The Guidelines establish guidance and priorities for steady-state preparedness activities conducted in the absence of a specific threat or hazard. The Guidelines also:

- Organize and synchronize efforts to strengthen national preparedness;
- Incorporate lessons learned from past disasters into national preparedness priorities;
- Facilitate a capability-based and risk-based investment planning process; and
- Require the development of readiness metrics to measure progress and a system for assessing the Nation's overall preparedness capability.



There are four components to the Guidelines:

- National Preparedness Vision

## PLAN

- National Planning Scenarios
- Universal Task List
- Target Capabilities List

Figure 3: National Preparedness Priorities

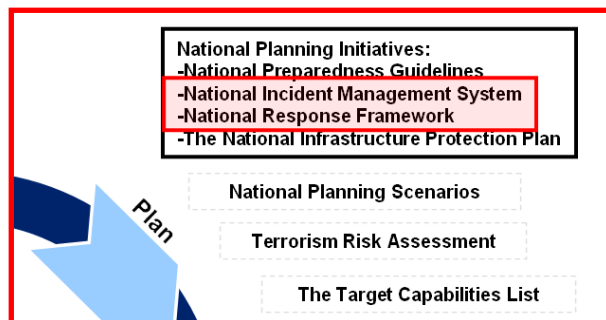


The Guidelines include a series of National Priorities to guide preparedness efforts that meet the Nation's most urgent needs (see Figure 3). These priorities reflect major themes and recurring issues identified in national strategies, Presidential directives, State and urban area homeland security strategies, the Hurricane Katrina Reports, and other lessons-learned assessments. The priorities will be updated or refined over time as we implement the Guidelines or encounter changes in the homeland security strategic environment.

The Preparedness Priorities are described in greater detail in the Organize, Equip, and Train section below.

### NIMS and the NRF.

The 2007 National Preparedness Guidelines established the goal of providing consistent frameworks for government entities at all levels to work



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together to manage domestic incidents.

- NIMS provides a core set of guidelines, standards, and protocols for Federal, State, tribal, territorial, and local entities to produce a coordinated response to domestic incidents.
- The NRF establishes a single, comprehensive framework for the management of domestic incidents.

Initially released in March 2004, NIMS establishes a standardized approach to incident command and incident management. NIMS provides a consistent nationwide approach for Federal, State, tribal, territorial, and local governments to work together to prepare for, respond to, and recover from domestic incidents. Specifically, NIMS establishes a core set of guidance, standards, and protocols for:

- Command and management
- Preparedness
- Resource management
- Communications and information management
- Supporting technologies
- Interoperability and compatibility among different levels of government

Working with its homeland security partners, DHS is developing a revised version of NIMS that will be released by early 2009.

DHS revised the NRP in the newly released NRF core document in January 2008. The NRP established a national response architecture that coordinates Federal, State, tribal, territorial, local, private-sector, and community actions. Specifically, the NRP:

- Established a comprehensive, national, all-hazards approach to domestic incident response;
- Aligned key roles and responsibilities across jurisdictions;
- Linked all levels of government, the private sector, and nongovernmental organizations in a unified approach to emergency management;
- Could be partially or fully implemented; and
- Coordinated Federal assistance without need for formal trigger.

Incorporating NRP doctrine and goals, the newly released NRF is more accessible and targets a broader range of national security stakeholders. Specifically, the NRF improves upon the NRP by:

- Reflecting the interests of not only Federal actors, but also State, tribal, local, and private-sector partners;

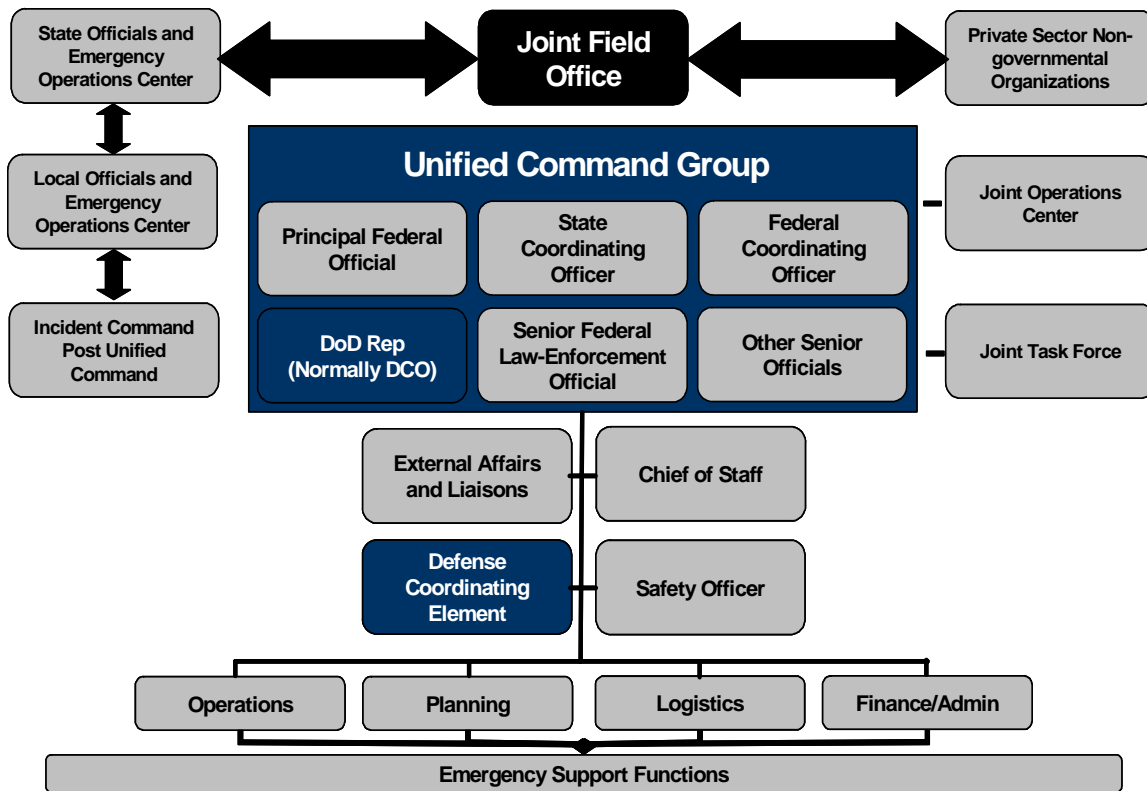
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- Incorporating key recommendations from more than 700 individuals representing Federal, State, tribal, territorial, and local governments, nongovernmental agencies and associations, and the private sector;
- Speaking more clearly to the roles and responsibilities of all levels of government, the private sector, and nongovernmental organizations;
- Being clear that the document is a "framework" for national response, not an operational plan;
- Eliminating the "Incident of National Significance" declaration; and
- Using comprehensible, clear language.

The NRF builds on NIMS with its flexible, scalable, and adaptable coordinating structures. In addition, the NRF focuses on preparedness activities that are directly related to an evolving or potential incident. Finally, the NRF integrates steady-state preparedness efforts and brings them to bear in managing incidents.

The NRF and NIMS are fully integrated. As Figure 4 indicates, the NRF organizational structure reflects the NIMS ICS, which establishes a Command Staff and Operations, Planning, Logistics, and Finance/Administration Sections.

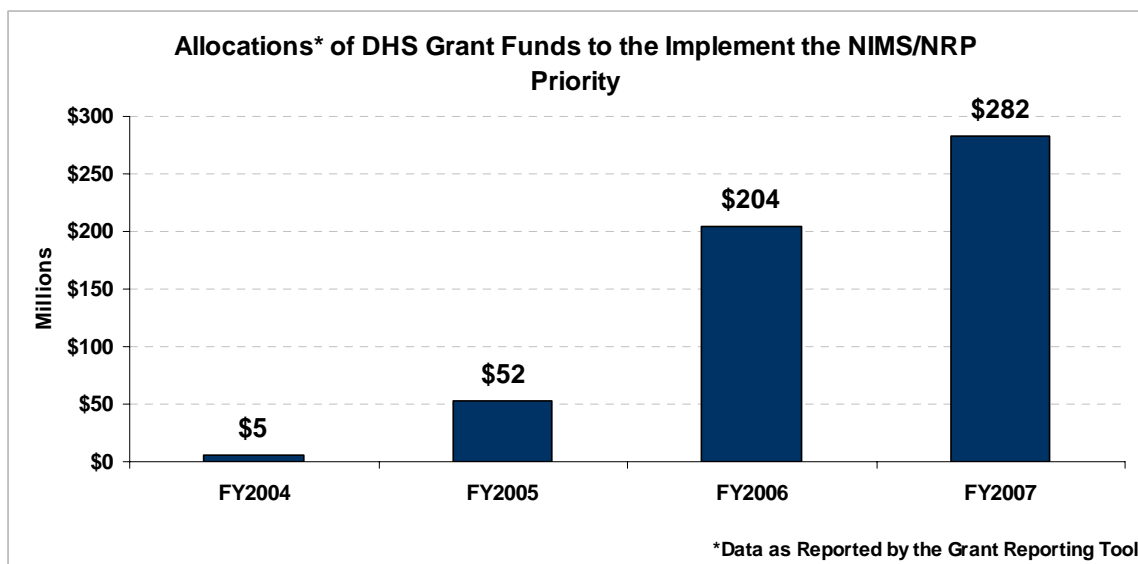
**Figure 4: National Response Framework Organizational Structure**



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In further support of the National Priority to implement the NIMS and NRF, DHS has provided substantial technical assistance and grant funding. The amount of DHS grant funds dedicated by States and urban areas to this priority has increased by over 50 times between FY 2004 and FY 2007 (see Figure 5). Though State funding amounts requested diminished while allocations rose, the dollars requested were still larger than the amount actually allocated. During this time, Grant Programs Directorate (GPD) provided applicants with guidelines to establish more appropriate funding requests, potentially causing requests to decline. Simultaneously, GPD stressed Planning as a priority capability area, which is a reason why allocations to this area increased.

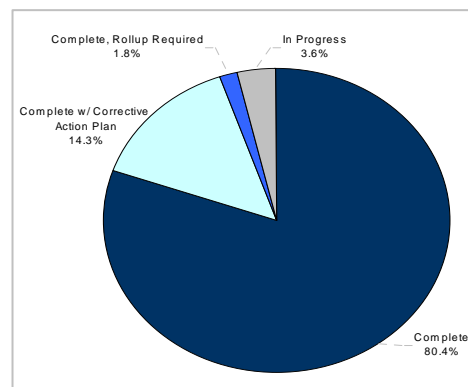
**Figure 5: Implement the NIMS/NRF Priority Grant Allocations**



## Compliance with NIMS and the NRF.

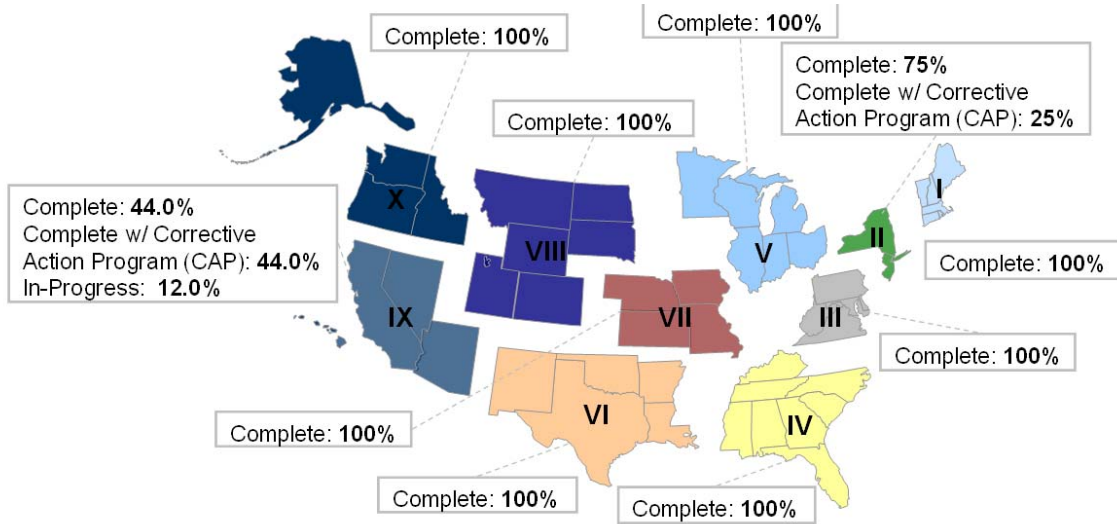
The results of these shared Federal, State, tribal, territorial, and local implementation efforts have been outstanding. As Figure 6 demonstrates, as of 2008, over 96 percent of States and territories have achieved NIMS implementation. The remainder are in the process of implementing NIMS. Figure 7 illustrates the national scope of success in implementing NIMS: Nine of 10 FEMA Regions reported 100 percent compliance with required NIMS standards.<sup>6</sup>

**Figure 6: NIMS Compliance by State**



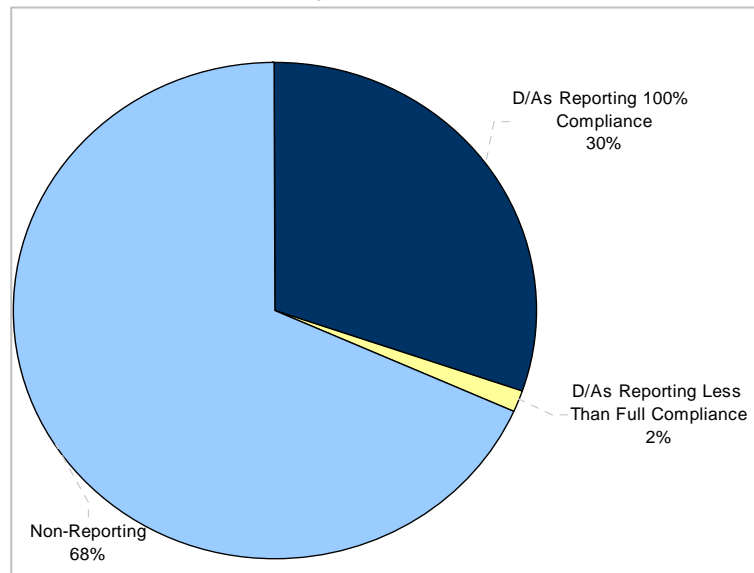
<sup>6</sup> Region IX incompleteness is due to several factors including the presence of sovereign tribal nations that States cannot impose compliance requirements upon, delayed acquisition of compliance reporting software, and delayed reporting

**Figure 7: NIMS Compliance by FEMA Region**



The reporting of NIMS compliance by Federal departments/agencies is incomplete due to the voluntary nature of the NIMS Compliance Assistance Support Tool (NIMSCAST) reporting system. As Figure 8 portrays, more than two-thirds of Federal departments and agencies have not reported on their compliance with NIMS requirements. On the positive side of the ledger, of the 32 percent of Federal departments and agencies that responded, almost all report full compliance with NIMS.

**Figure 8: NIMS Compliance by Federal Departments/Agencies (D/As)**



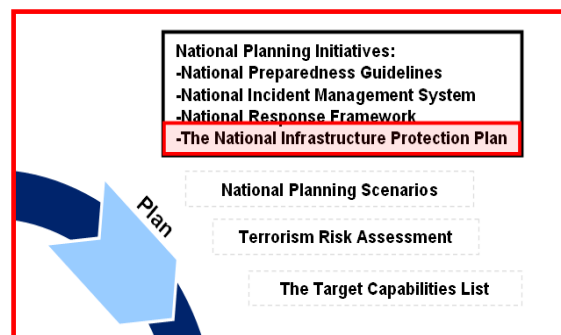
In May 2006, the Federal Partners Working Group was established to provide a forum for NIMS implementation, training, and planning activities. This group consists of department and agency senior-level emergency managers

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and subject-matter experts identified as NIMS coordinators, who meet quarterly to develop specific guidance, provide technical assistance, and foster collaboration. Their recommendations included developing Federal implementation activities consistent with those of State, tribal, territorial, and local governments, and were instrumental in creating the *FY 2008 NIMS Implementation Activities for Federal Departments and Agencies*.

Federal department/agency partners actively participated in the development of the new NRF. FEMA is providing a number of tools to assist Federal, State, tribal, territorial, and local partners in implementing the NRF. For example, the NRF Resource Center provides a single access point where Federal, State, local, and private-sector partners can access information and provide feedback into a "living document."

In terms of State compliance with the NRF and its predecessor, the NRP, according to peer assessments conducted in 2006 as part of the Nationwide Plan Review, 73 percent of States' and 90 percent of urban areas' plans were either "Partially Sufficient" or "Not Sufficient" to respond to a catastrophic incident as defined in the NRP. NPD is currently reviewing and analyzing information within the recently submitted SPRs, which should provide current information related to the last Nationwide Plan Review update. Additionally, NPD considers it highly likely that planning results have improved. For example, a number of States have established State emergency support functions that align with the Federal Emergency Support Functions (ESFs) described in the NRF.



**National Infrastructure Protection Plan.** Another National Priority, the implementation of the NIPP, was established to provide a unifying structure for the integration CIKR protection efforts into a national program based on a consistent risk management framework. In December 2003, HSPD 7

This section on the National Infrastructure Protection Plan directly addresses three PKEMRA sections:

- **§652(a)(2)(A): An assessment of how Federal assistance supports the National Preparedness System**
- **§652(a)(2)(D): An assessment of resource needs to meet Preparedness Priorities**
- **§652(a)(2)(D)(ii): An evaluation of the extent to which DHS grants have led to the reduction of risk**

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directed the Secretary of Homeland Security to establish a plan to unify the Nation's efforts to protect CIKR. Following this direction, DHS released the NIPP in June 2006.

The finalized Guidelines rearticulated this National Priority in September 2007, outlining a series of objectives to achieve the priority:

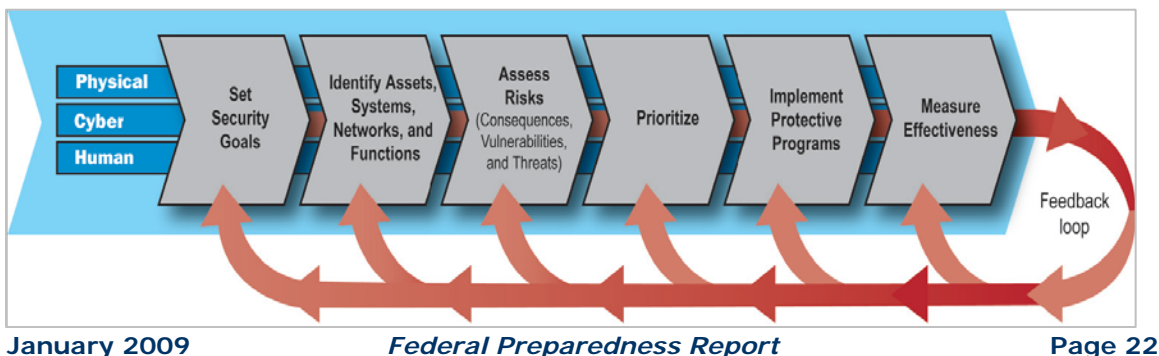
- Understanding and sharing information about terrorist threats and other hazards;
- Building security partnerships;
- Implementing a long-term risk management program; and
- Maximizing the efficient use of resources.

The NIPP defined 18 CIKR Sectors, with another—Critical Manufacturing—added after publication. The NIPP clearly defines critical infrastructure protection roles and responsibilities for all levels of government, private industry, nongovernmental agencies, and tribal partners. The NIPP details actions to:

- Implement a risk management framework to guide CIKR protection programs and activities;
- Strengthen linkages among CIKR protection efforts;
- Enhance information sharing and public-private sector coordination;
- Integrate CIKR protection as part of the homeland security mission;
- Maximize efficient use of resources for CIKR protection; and
- Achieve a long-term national CIKR protection program.

The NIPP implements a risk management framework (see Figure 9) that establishes processes for combining consequence, vulnerability, and threat information to produce comprehensive, systematic risk assessments. The NIPP establishes the goal of implementing a long-term risk management program based upon this framework.

**Figure 9: NIPP Risk Management Framework**





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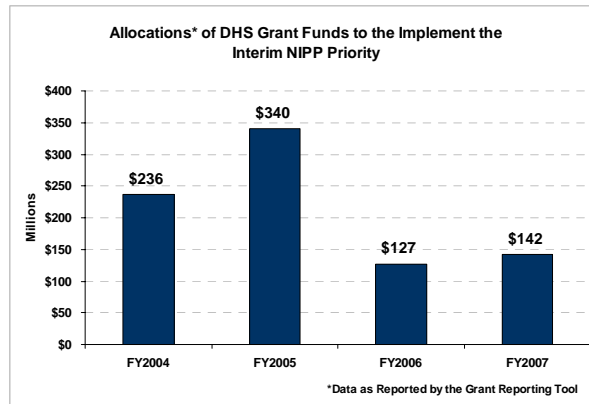
In order to implement this National Priority, DHS has provided funding for NIPP implementation and specific CIKR protection activities that address NIPP goals.

As Figure 10 demonstrates, between FY 2004 and FY 2007, over \$845 million of grant funds were allocated toward implementing the NIPP—a figure that doesn't include the budget of the Office for Infrastructure Protection, which directs numerous infrastructure protection activities. The Transit Security Grant Program (TSGP) and Port Security Grant Program (PSGP) accounted for over 80 percent of all Infrastructure Protection Program (IPP) grants over the FY 2006–FY 2007 period (see Figure 11).

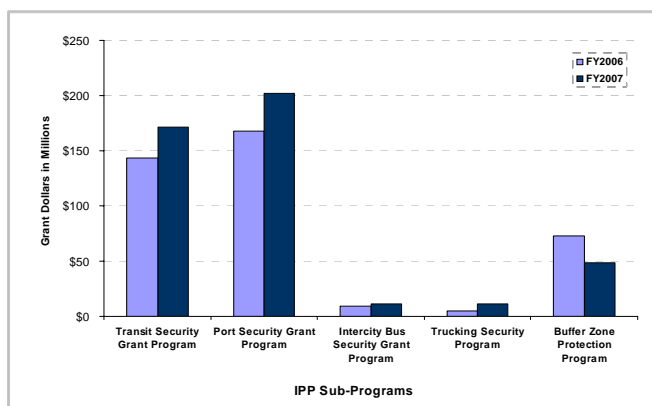
IPP grants have funded numerous transportation-sector preparedness activities that support NIPP objectives. For example, IPP grants awarded in FY 2007 supported activities such as strengthening infrastructure against explosive attacks, planning, equipment purchases, exercises, training, and security management.

DHS grant funding did not equate exactly to the requests of States and the Urban Areas Security Initiative (UASI) program. Over the FY 2006–FY 2007 period, those jurisdictions requested over \$2.7 billion from DHS in FY 2006 and FY 2007 to assist in fulfilling this priority. Over the FY 2006–FY 2007 period, State funding requests to support implementing the NIPP decreased 38 percent (see Figure 12). Though State funding requests for this priority diminished while allocations increased, the request amounts were still larger than the actual amount allocated. During this time,

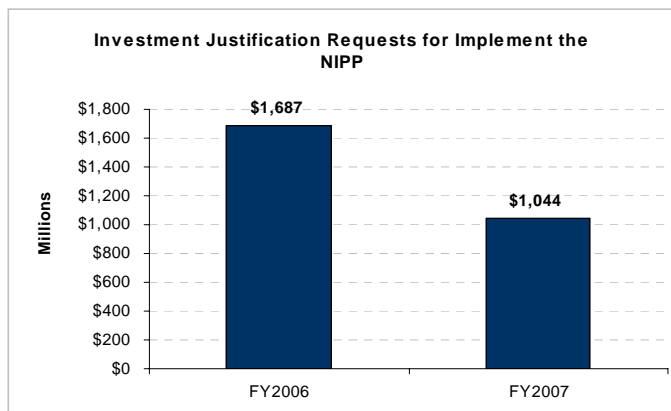
**Figure 10: *Implement the NIPP* Priority Grant Allocations**



**Figure 11: Infrastructure Protection Program Grants**



**Figure 12: *Implement the NIPP* State Investment Justifications**



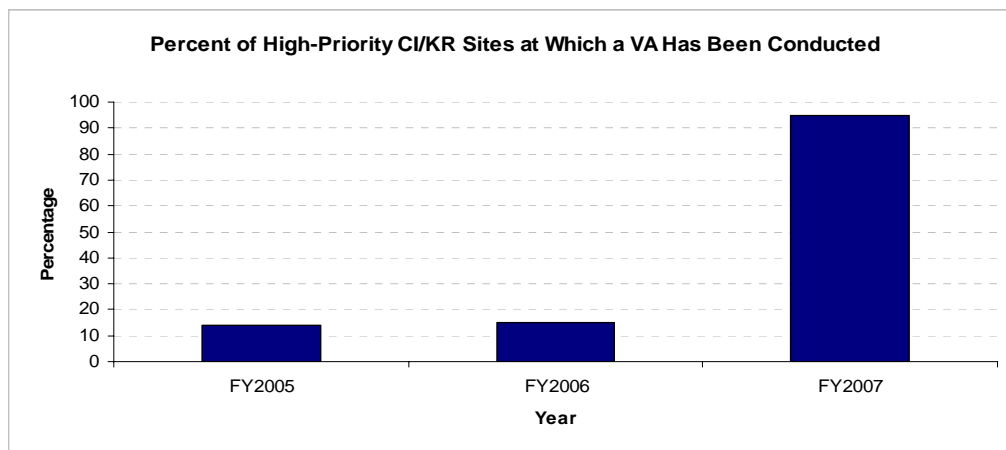
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GPD provided applicants with guidelines to establish more appropriate funding requests, potentially causing requests to decline. Simultaneously, GPD stressed Planning as a priority capability area, which caused an increase in allocations to this area.

NIPP-related accomplishments include:

- Formation of 18 critical infrastructure government and sector coordinating councils to increase coordination among stakeholders;
- Completion of sector-specific plans for the NIPP framework, which set security priorities, define roles and responsibilities, and encourage partnerships between the public and private sectors;
- Development of chemical security regulations that establish risk-based performance standards for the security of our nation's chemical facilities; and
- Evaluation of the security of 64 percent of passenger and mass transit rail systems through Compliance Security Directive Reviews.

**Figure 13: Vulnerability Assessments Conducted at CIKR Sites**

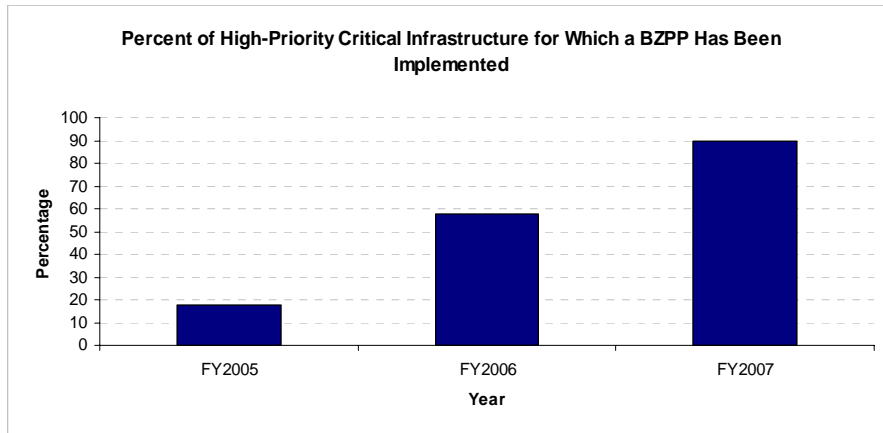


In addition, the NIPP's comprehensive risk management framework has been implemented to support a wide range of protective and preventative measures. Among these, Vulnerability Assessments (VAs) identify areas of weakness that could result in consequences of concern. By the end of FY 2007, a VA was conducted at over 90 percent of high-priority CIKR sites (see Figure 13).

DHS supports these efforts through the provision of more than 60 Protective Security Advisors (PSAs) at strategic locations nationwide. These PSAs facilitate, coordinate, and/or perform VAs in support of local CIKR operators. DHS has also reviewed VA methodologies and worked with security partners to assess and develop VA compatibility with NIPP baseline criteria.

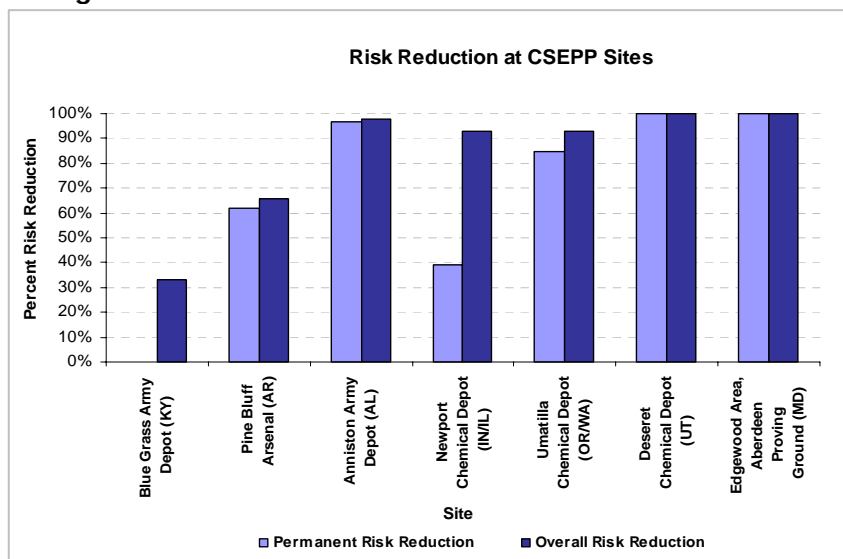
Another indicator of progress is in the area of BZPPs. BZPPs include protective measures that make it more difficult for terrorists to conduct surveillance or launch attacks near high-priority CIKR. As Figure 14 demonstrates, by the end of FY 2007, BZPPs had been implemented at over 90 percent of high-priority CIKR sites.

**Figure 14: Buffer Zone Protection Plan Implementation**



One of the CIKR identified by the NIPP is the Chemical Sector, which includes eight chemical stockpile sites across the Nation. FEMA has partnered with the U.S. Army through the Chemical Stockpile Emergency Preparedness Program (CSEPP), which provides funding and technical assistance to implement protective actions, develop plans, conduct exercises, and increase public awareness to reduce risk at CSEPP sites. Communities near chemical stockpile sites have experienced considerable reductions in risk due—at least in part—to U.S. Army and CSEPP support for protective actions and plan development. In this context, "risk reduction" refers to the percentage of chemical weapon stockpiles that have been eliminated at U.S. Army storage sites. As Figure 15 shows, five of these sites have achieved over 90 percent overall risk reduction, and of those, two have reached 100 percent permanent and overall risk reduction.

**Figure 15: Chemical Sector Risk Reduction at CSEPP Sites**



**Mitigation Planning.** FEMA's Pre-Disaster Mitigation (PDM) Grant Program provides funding to States, Indian tribal governments, territories, and local governments for implementing cost-effective hazard mitigation planning and projects before disasters occur. Authorized by the Robert T. Stafford Disaster Assistance and Emergency Relief Act, the goal of the PDM Program is to reduce the overall risk to people and property from future disasters, while also reducing reliance on funding from disaster declarations.

FEMA's Hazard Mitigation Grant Program (HMGP) provides grants to States, local governments, and Indian tribes for long-term hazard mitigation projects following a major disaster declaration. The purpose of the program is to reduce the loss of life and property in future disasters by funding mitigation measures during the recovery phase of a natural disaster. The HMGP is authorized under Section 404 of the Stafford Act.

The HMGP and PDM programs support the activities of the NIPP's CIKR protection activities by supporting the identification of risks and vulnerabilities and in funding projects to protect vulnerable critical facilities. PDM and HMGP funds can be used to mitigate public or private property. To be eligible, a project must provide a long-term solution to a specific risk, such as:

- Retrofitting buildings, such as critical facilities, to minimize damage from high winds, flooding, earthquakes, and other natural hazards
- Construction of tornado safe rooms
- Protective measures for utilities
- Localized flood control projects that are designed specifically to protect critical facilities

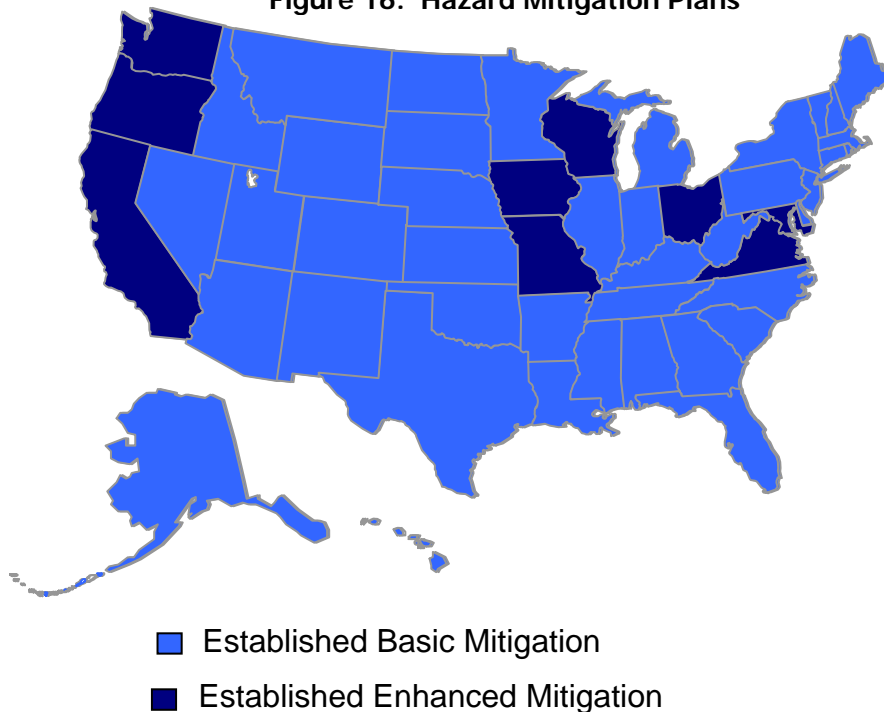
Mitigation plans include two elements: a comprehensive risk assessment as well as a mitigation strategy for reducing the identified risks and vulnerabilities. Each plan is required to identify the risks and vulnerabilities of critical infrastructure as well as identifying strategies for reducing those risks.

Standard Mitigation Plans include a comprehensive risk assessment as well as a mitigation strategy for reducing the identified risks and vulnerabilities. As part of this, the plans are required to identify the risks and vulnerabilities of critical infrastructure as well as identifying strategies for reducing those risks. States reported to have an Enhanced Mitigation plan demonstrate a commitment to a comprehensive mitigation program, document the integration of mitigation into other planning initiatives, and demonstrate their capability in implementing project objectives. In addition, States with an Enhanced Mitigation Plan receive increased HMGP funding.

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Both the HMGP and PDM programs can fund the development of mitigation plans. As of March 1, 2008, over 16,000 local jurisdictions are covered by an approved local mitigation plan.

**Figure 16: Hazard Mitigation Plans**



The NIPP's CIKR protection activities include developing a unified approach to mitigation planning. FEMA provides incentives for States to enhance their mitigation plans by increasing available HMGP funds for States with enhanced mitigation plans. States may use up to 7 percent of their HMGP funds to develop State, tribal and local mitigation plans. As of 2007, every State had a Basic or Enhanced Mitigation Plan (see Figure 16).

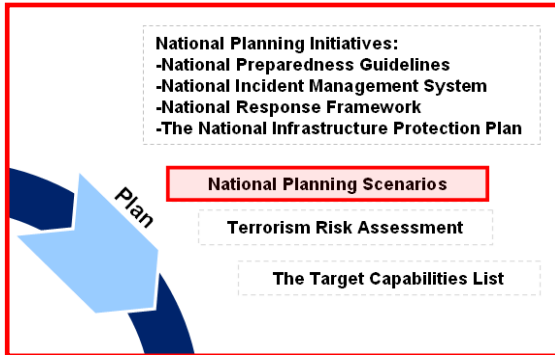
## NATIONAL PLANNING SCENARIOS

The National Planning Scenarios, developed and released as part of the Guidelines in September 2007, highlight 15 credible, broadly applicable major events that pose the greatest risk to the Nation.

The scenarios are not intended to be exhaustive or predictive. The

National Planning Scenarios reflect the relative risk of all hazards and illustrate the scope, magnitude, and complexity of a broad range of events. Nor are the scenarios intended to be all inclusive; they are the minimum number required to develop the range of capabilities and resources needed.

The National Planning Scenarios establish the requirements necessary for all-hazard preparedness. The scenarios are intended for use in Federal, State, tribal, territorial, and local preparedness activities, including planning and exercises. The National Response Framework further organized the scenarios into eight key “scenario sets” that



**This section on the National Planning Scenarios directly addresses one PKEMRA section:**

- **§645: National Planning Scenarios**

**Figure 17: NRF Relationship of Scenario Sets to Planning Scenarios**

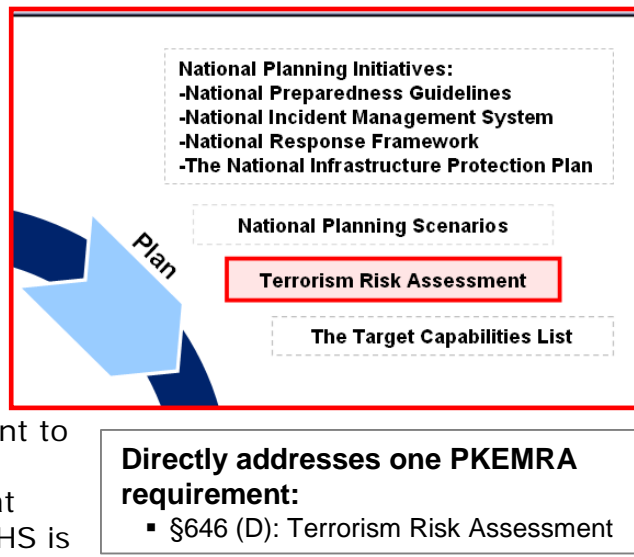
NRF Relationship of Scenario Sets to Planning Scenarios	
Key Scenario Sets	National Planning Scenarios
Explosives Attack – Bombing Using Improvised Explosives Devices	Scenario 12: Explosives Attack – Bombing Using Improvised Explosive Device (IED)
Nuclear Attack	Scenario 01: Nuclear Detonation – Improvised Nuclear Device (IND)
Radiological Attack - RDD	Scenario 11: Radiological Attack – Radiological Dispersal Devices (RDD)
Biological Attack – with annexes for different pathogens	Scenario 02: Biological Attack – Aerosol Anthrax Scenario 04: Biological Attack – Pneumonic Plague Scenario 13: Biological Attack – Food Contamination Scenario 14: Biological Attack – Foreign Animal Disease (FAD)
Chemical Attack - with annexes for different agents	Scenario 05: Chemical Attack – Blister Agent Scenario 06: Chemical Attack – Toxic Industrial Chemicals (TIC) Scenario 07: Chemical Attack – Nerve Agent Scenario 08: Chemical Attack – Chlorine Tank Explosion
Natural Disasters – with different annexes for different disasters	Scenario 09: Natural Disaster – Major Earthquake Scenario 10: Natural Disaster – Major Hurricane
Cyber Attack	Scenario 15: Cyber Attack
Pandemic Influenza	Scenario 03: Biological Disease Outbreak – Pandemic Influenza

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are the focus of the recently established Integrated Planning System.

## TERRORISM RISK ASSESSMENT

DHS uses the concept of risk to inform its Federal preparedness support decisions. The use of risk for this purpose has matured considerably since DHS' inception, and will continue to evolve through experience as new analytic approaches are developed, mastered and implemented. A fully mature risk management capability will allow the Department to manage the complexities, uncertainties, and ambiguities that characterize the risks for which DHS is responsible, including terrorism risk.



The Department provides Homeland Security Preparedness and Infrastructure Protection grants based on the principles of risk management. DHS has used a risk formula for UASI grant allocations since FY 2005. DHS revised risk evaluation criteria for FY 2006 and FY 2007 Homeland Security Grant Program (HSGP) grants and expanded the use of risk analysis to include several other grant programs—the State Homeland Security Program (SHSP), TSGP, PSGP and the Law Enforcement Terrorism Prevention Program (LETPP). The grants' risk assessment methodology is based on intelligence analysis, security reviews, and congressional direction. It includes three principal types of variables:

- Threat variables that describe the likelihood of an attack;
- Vulnerability variables that describe the likelihood of a successful attack; and
- Consequences variables that estimate the impact of a successful attack.

Improving risk assessment methods is essential to the Nation's preparedness. Improved risk methods will heighten our understanding of the hazards we face, allow the Nation to make better decisions about the use of its resources, and assess the impact and outcome of our decisions and activities through risk reduction. By developing risk methods that provide higher fidelity information, decision makers will have a better understanding of the risks which will enable them to make better preparedness decisions. Risk methods that measure and assess how specific capability developments reduce risk will also allow leaders to prioritize preparedness efforts and

## PLAN

maximize the Nation's preparedness return on investment by selecting strategies that provide maximum risk reduction at an acceptable cost.

DHS is working to establish an integrated risk management framework for analyzing and managing all-hazards homeland security risk that includes Federal preparedness support as well as the Department's entire set of strategic, tactical, and operational activities. This framework will include risk assessment methodologies and risk management processes to inform the Department's planning guidance, prioritization of activities, operational planning, and capability development efforts.

Organizationally, DHS has stood up an Office of Risk Management and Analysis (RMA) within the National Protection and Programs Directorate (NPPD). RMA works closely with partners throughout DHS to improve, synchronize, integrate, and coordinate the use of risk methods throughout the Department. An RMA-administered, Department-wide Risk Steering Committee supports DHS leadership to ensure that risk management is carried out consistently and comparably throughout DHS. The end-state of RMA and RSC efforts is preparedness decisions that are informed by systematic consideration of risk across all homeland security domains.



## TARGET CAPABILITIES LIST

The TCL section describes the development and release of the TCL, which is used to facilitate the capabilities-based preparedness process. Released in September 2007, the process for TCL development included multistage review and comment adjudication with key Federal, State, tribal, local, and private-sector stakeholders.



The TCL identifies 37 capabilities (see Figure 18) needed to address a broad range of incidents. Each capability provides the means to accomplish a mission or desired outcomes by performing critical tasks, under specified conditions, to target levels of performance. The TCL includes specific, measurable Preparedness and Performance Measures for these capabilities.

Target capabilities were identified based on the National Planning Scenarios, which were derived from risk-based threat and mission analyses. The TCL facilitates the capabilities-based preparedness planning process through the provision of specific, measurable targets for mission-critical capabilities. The TCL is a “living document” and DHS continues to refine its many elements.

**This section on the TCL directly addresses two PKEMRA sections:**

- **§646(a-c): Target capabilities**
  - The TCL section describes how DHS and homeland security partners developed a comprehensive list of target capabilities to support Federal, State, local, and tribal preparedness activities.
- **§652(a)(2)(A): An assessment of how Federal assistance supports the national preparedness system**
  - The national preparedness system includes target capabilities.
  - This section describes both the establishment and the implementation of the TCL.

**Target Capabilities List Revision.** DHS is currently revising the TCL to create a common framework that will enable jurisdictions to invest in building and maintaining levels of capability appropriate to their risk factors. The TCL revision process will produce capability implementation frameworks that define how prepared each jurisdiction needs to be in order to respond to large-scale national events. The frameworks will include performance classes, performance objectives, and resource requirements for each capability.

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- Performance classes group jurisdictions based upon shared risk factors and ultimately determine which types of jurisdiction need what levels of capability.
- Performance objectives outline target levels of a capability for each performance class.
- Resource requirements are measurable metrics that describe how jurisdictions can achieve their performance objectives through planning, personnel, training, equipment, and exercises.

DHS has actively engaged the Federal, State, and local community in the TCL revision process. DHS conducted a series of 12 technical working groups (TWGs) across the country between May 2008 - August 2008 to receive input and feedback on six initial frameworks under development. DHS worked with FEMA Federal Preparedness Coordinators and their staff to identify subject-matter experts (SMEs) that were extended invitations to participate in the TWG sessions. Following each TWG, DHS conducted a series of web-based conferences with experts and established open comment periods for the review of each framework draft. Concurrently, DHS has engaged Intra-agency and Interagency partners throughout the development process and leveraged existing Federal doctrine and standards where appropriate. Per PKEMRA, DHS will release the draft frameworks for broad national review, including distribution to National Homeland Security Consortium members, the National Council on Disability, and the National Advisory Council

Figure 18: The Target Capabilities

Common Mission Area	Respond Mission Area
<ul style="list-style-type: none"> <li>▪ Communications</li> <li>▪ Community Preparedness and Participation</li> <li>▪ Intelligence/Information Sharing and Dissemination</li> <li>▪ Planning</li> <li>▪ Risk Management</li> </ul>	<ul style="list-style-type: none"> <li>▪ Animal Health Emergency Support</li> <li>▪ Citizen Evacuation and Shelter-in-Place</li> <li>▪ Critical Resource Logistics and Distribution</li> <li>▪ Emergency Operations Center Management</li> <li>▪ Emergency Public Information and Warning</li> <li>▪ Emergency Public Safety and Security Response</li> </ul>
<b>Prevent Mission Area</b>	<ul style="list-style-type: none"> <li>▪ Emergency Triage and Pre-Hospital Treatment</li> </ul>
<ul style="list-style-type: none"> <li>▪ CBRNE Detection</li> <li>▪ Counter-Terror Investigations and Law Enforcement</li> <li>▪ Information Gathering and Recognition</li> <li>▪ Intelligence Analysis and Production</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental Health</li> <li>▪ Explosive Device Response Operations</li> <li>▪ Fatality Management</li> <li>▪ Fire Incident Response Support</li> <li>▪ Isolation and Quarantine</li> </ul>
<b>Protect Mission Area</b>	<ul style="list-style-type: none"> <li>▪ Mass Care (Sheltering, Feeding, and Related Services)</li> </ul>
<ul style="list-style-type: none"> <li>▪ Critical Infrastructure Protection</li> <li>▪ Epidemiological Surveillance and Investigation</li> <li>▪ Food and Agriculture Safety and Defense</li> <li>▪ Laboratory Testing</li> </ul>	<ul style="list-style-type: none"> <li>▪ Mass Prophylaxis</li> <li>▪ Medical Supplies Management and Distribution</li> <li>▪ Medical Surge</li> <li>▪ Onsite Incident Management</li> </ul>
<b>Recover Mission Area</b>	<ul style="list-style-type: none"> <li>▪ Responder Safety and Health</li> </ul>
<ul style="list-style-type: none"> <li>▪ Economic and Community Recovery</li> <li>▪ Restoration of Lifelines</li> <li>▪ Structural Damage Assessment</li> </ul>	<ul style="list-style-type: none"> <li>▪ Search and Rescue (Land-Based)</li> <li>▪ Volunteer Management and Donations</li> <li>▪ WMD/Hazardous Materials Response and Decontamination</li> </ul>

The revised version of the TCL will address the reality that different jurisdictions need varying levels of capability based on their risk and threat profiles. By using performance classes, the frameworks identify *who* must do *what* for each capability to ensure national preparedness. Ultimately, these metrics will provide the basis of a nationwide assessment that will answer the question: “How prepared are we?”

## ORGANIZE, EQUIP, AND TRAIN

The Organize, Equip, and Train section addresses how Federal assistance supports the national preparedness system through the development of Federal, State, tribal, territorial, and local capabilities. The NRF describes this part of the Preparedness Cycle as "*the establishment and maintenance of teams, an organizational structure, leadership, qualified staff, equipment, and relevant training necessary to perform assigned missions and tasks.*"



The Organize, Equip, and Train area is the focus of perhaps the greatest volume of preparedness expenditures over the past five years. Among the many preparedness accomplishments in this area:

- Between FY 2002 and FY 2007, DHS provided approximately \$19.8 billion to States and urban areas to build capabilities, with a particular focus on the National Priorities. The section below provides specific details of the significant progress made in each of these National Priorities.
- DHS is developing a Homeland Security National Training Program while building a national training network involving over 70 training partners.
- DHS has supported the expansion of national standards for homeland security equipment and training.
- DHS and its Federal partners have collaborated on increasing the number of PSMAs and the inventorying of Federal response assets.

## FEDERAL SUPPORT FOR ACHIEVING TARGET LEVELS OF CAPABILITY

The definition and subsequent achievement of target levels of capability is the centerpiece of the national preparedness system. Yet this has proved to be one of the greater challenges for DHS and its homeland security partners over the past five years. On the success side of the ledger, through the development of the TCL, DHS and its partners have agreed upon a common lexicon for describing capabilities and metrics to measure them in their current status. Two related requirements have been more elusive: a) agreement on what the target levels for those capabilities should be and how to assess them, and b) agreement on a common system for reporting on current and target capability levels and a methodology for aggregating the resulting data into a real-time picture of national readiness.

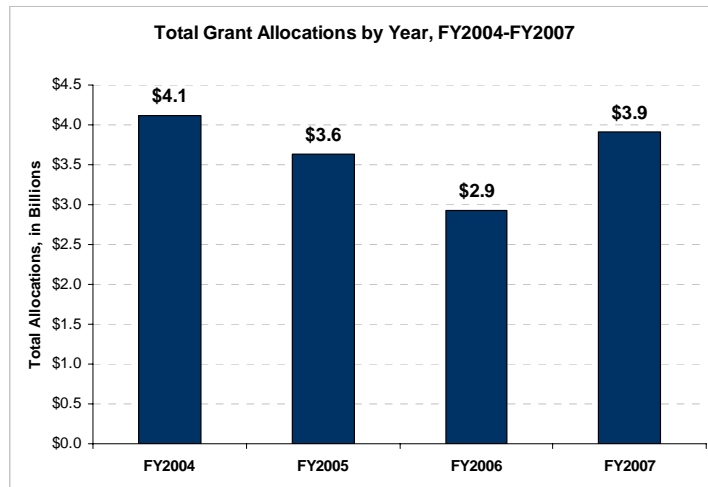


**This section on Achieving Target Capabilities directly addresses one PKEMRA section (as amended by the 9/11 Act):**

- **§652(a)(2)(E)(i): An evaluation of the extent to which DHS grants have contributed to the progress of State, local, and tribal governments in achieving target capabilities**

Thus, without defining the specific targets for capabilities, DHS and its homeland security partners are greatly challenged in how to comprehensively report on the results—i.e., the outcomes—of Department and national investments toward achieving them. As stated previously in this Report, the further development of a national preparedness

**Figure 19: DHS Grant Allocations**



system will foster a preparedness infrastructure better equipped to generate, collect, and analyze this type of information throughout the homeland security community. Nevertheless, DHS and its homeland security partners to date have successfully invested significant resources into improvements in capabilities. This section describes how DHS has supported improvements in State, tribal, territorial, and local capabilities.

**ORGANIZE, EQUIP, AND TRAIN**

DHS support to State, tribal, territorial, and local governments has included the integration of capability targets into investment decision-making, training, and exercise-based assessments.

**Grant Funding.** DHS has organized grant funding according to capabilities enhancement and focusing grant funds on the improvement of specific capabilities identified as priorities. As Figure 19 portrays on page 33, from FY 2004-FY 2007, \$14.5 billion was directed at building capabilities in States and urban areas.

As Figure 20 shows, DHS has aligned the grant system with the capabilities-based approach promulgated by the National Preparedness Guidelines. FY 2006 was the first grant cycle in which the National Priorities and target capabilities were used to prioritize funding allocations. FY 2004 and FY 2005 funding was retroactively mapped to current target capabilities. As Figure 21 demonstrates, 9 of the 37 target capabilities (24 percent) have received 63 percent of the total funding from FY 2004 to FY 2007.

**Figure 20: Relationship of Investments to National Priorities and Target Capabilities**

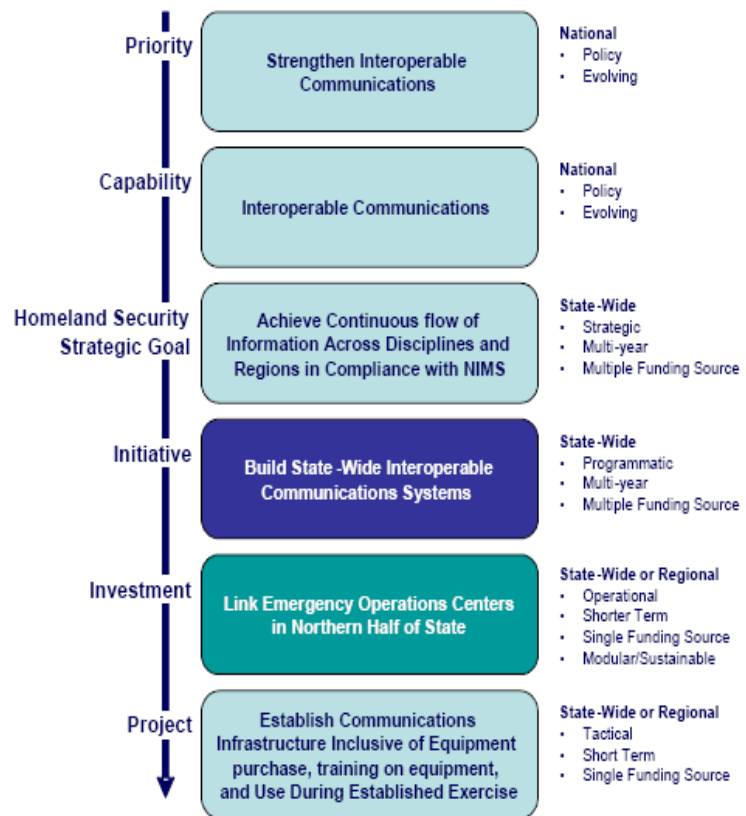
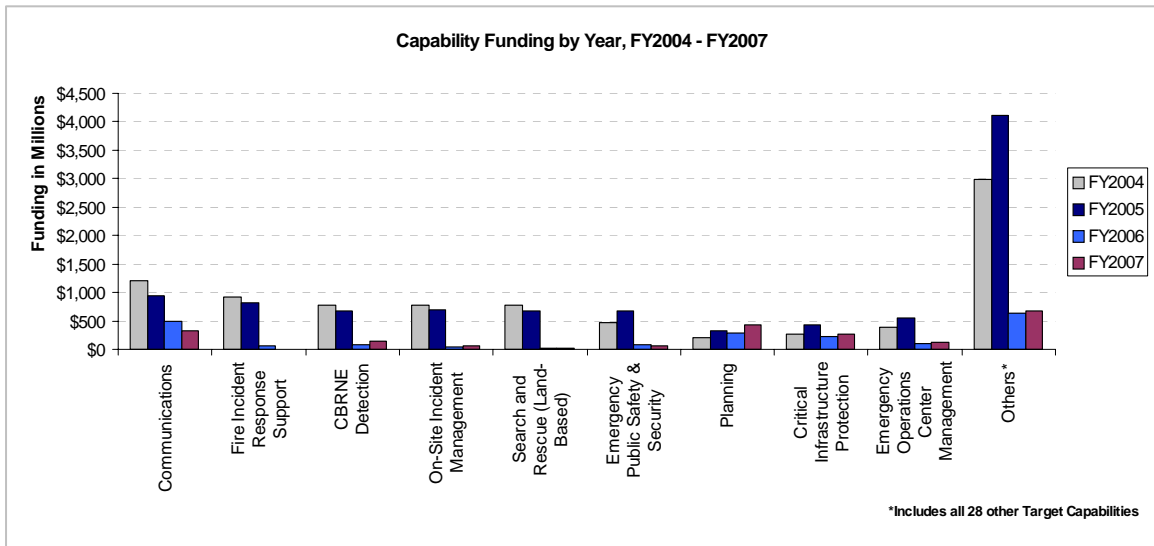


Figure 21: Target Capability Funding



From FY 2004 to FY 2007, the majority of allocations were dedicated to:

- Communications: \$2.95 billion. The Communications capability alone accounts for 20.3 percent of the total allocations from FY 2004 to FY 2007
- Firefighting Operations: \$1.8 billion (12.4 percent of the total allocations)
- CBRNE Detection: \$1.67 billion (11.5 percent of the total allocations)

Over the same period, the capabilities receiving the lowest total allocations were:

- Restoration of Lifelines: \$2.95 million
- Isolation and Quarantine: \$20.54 million
- Public Health Laboratory Testing: \$24.13 million

DHS is also working to measure progress in building capabilities and to facilitate an assessment of the level of capabilities nationwide. In FY 2008, GPD will adopt a new performance measure stating “Percent of analyzed capabilities performed acceptably in exercises,” which will better inform future assessments of the Nation’s capability levels.

Since FY 2006, HSGP grant guidance has included Funding Priorities, some of which direct funding to strengthen specific target capabilities. For example, FY 2007 HSGP Funding Priorities included:

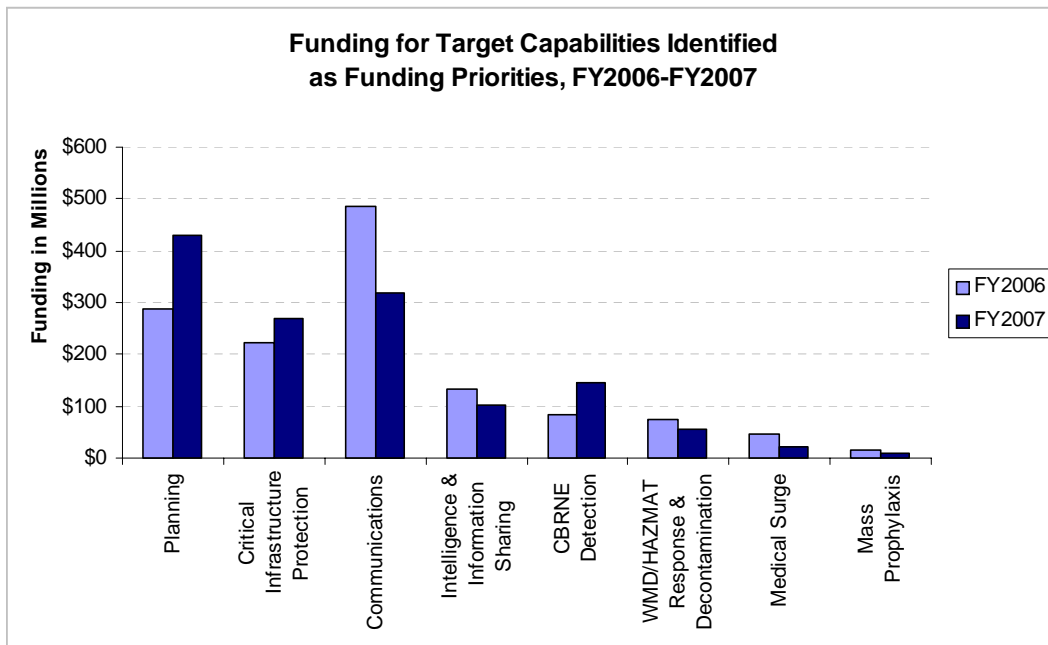
- Catastrophic Planning
- Communications

## ORGANIZE, EQUIP, AND TRAIN

- CIKR Protection
- Information/Intelligence Fusion
- CBRNE Detection<sup>7</sup>

As demonstrated in Figure 22, allocations for capabilities identified as Funding Priorities in FY 2006 and FY 2007 accounted for 25 percent, or \$1.3 billion, of the total \$4.1 billion allocated during FY 2006 and FY 2007.

Figure 22: Key Target Capability Funding



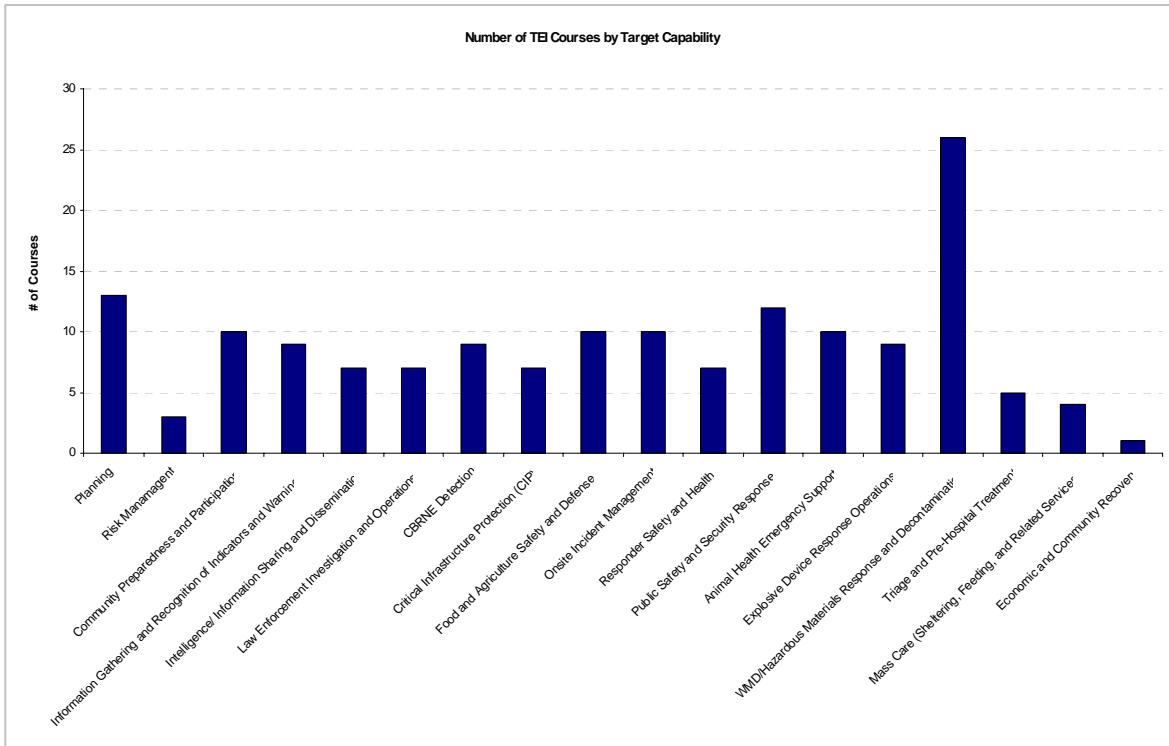
**Training and Exercise.** Furthermore, DHS has reoriented its training and exercise systems to integrate with a capabilities-based approach and related priorities. As Figure 23 illustrates, the DHS National Integration Center (NIC) Training and Exercise Integration (TEI) Secretariat has mapped all of its 115 courses to target capabilities.

<sup>7</sup> FY 2006 HSGP capability-specific priorities were slightly different:

- Information Sharing and Collaboration
- Communications
- CBRNE Detection
- Medical Surge and Mass Prophylaxis
- Catastrophic Planning



Figure 23: Training and Exercise Integration Courses by Target Capability



In the Exercise domain, DHS released the revised HSEEP, which promotes a capabilities-based approach to planning, conducting, and evaluating exercises. In 2007, HSEEP was accepted as the standardized policy and methodology for the NEP, and all Federal Interagency partners have adopted HSEEP as the methodology for all exercises that will be conducted as part of NEP. HSEEP exercises' capabilities-based approach evaluates the performance of capabilities, which provides important data on the effectiveness of efforts to improve capabilities and enables better prioritization of resources.

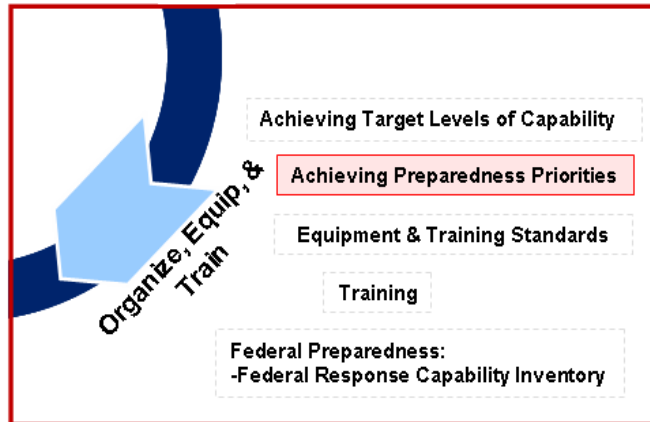
## NATIONAL PRIORITIES

Similar to the challenge with capabilities described above, lacking specific targets that define how or whether National Priorities are achieved, it is difficult to determine the extent to which Federal assistance has contributed to achieving a specific level of performance. However, progress towards realizing the National Priorities can in part be assessed from:

- Milestones established in HSGP guidance.
- Data describing State, local, and UASI grant recipients' progress toward their own goals and objectives, which are developed in accordance with the Guidelines and support elements of the National Priorities contained therein. For example, 67

percent of State and local homeland security agency grant recipients reported measurable progress towards identified goals and objectives to prevent and respond to terrorist attacks. Additionally, 64.3 percent of participating urban area grant recipients reported measurable progress made towards identified goals and objectives to prevent and respond to terrorist attacks.

- Performance during exercises. For example, in FY 2007, 72 percent of jurisdictions demonstrated acceptable performance on applicable critical tasks in exercises using DHS-approved scenarios and exercise conduct and evaluation methodologies.



**This section on the Preparedness Priorities directly addresses two PKEMRA sections:**

- **§652(a)(2)(A): An assessment of how Federal assistance supports the national preparedness system**
  - The national preparedness system includes preparedness priorities.
- **§652(a)(2)(D): An assessment of resource needs to meet preparedness priorities**

**Two of the preparedness priorities have been already covered in the Planning section:**

- Implement the NIMS and NRF.
- Implement the NIPP.

Progress towards the achievement of National Priorities can also be measured through the achievement of related target capabilities. The table below provides some of DHS guidance explaining the mapping of specific capabilities to National Priorities.

**Table 1: National Priorities and Associated Capabilities**

National Priority	Associated Capabilities
<b>Expand Regional Collaboration</b>	<ul style="list-style-type: none"> <li>• Associated with all 37 capabilities</li> </ul>
<b>Implement the National Incident Management System and National Response Plan</b>	<ul style="list-style-type: none"> <li>• Associated with all 37 capabilities</li> </ul>
<b>Implement the National Infrastructure Protection Plan</b>	<ul style="list-style-type: none"> <li>• Associated with all 37 capabilities</li> </ul>
<b>Strengthen Information-Sharing and Collaboration Capabilities</b>	<ul style="list-style-type: none"> <li>• Intelligence/Information Sharing and Dissemination</li> <li>• Counter-Terror Investigations and Law Enforcement</li> </ul>
<b>Strengthen Interoperable and Operable Communications Capabilities</b>	<ul style="list-style-type: none"> <li>• Communications Emergency Public Information and Warning</li> </ul>
<b>Strengthen CBRNE Detection, Response, and Decontamination Capabilities</b>	<ul style="list-style-type: none"> <li>• CBRNE Detection</li> <li>• Explosive Device Response Operations</li> <li>• WMD/Hazardous Materials Response and Decontamination</li> </ul>
<b>Strengthen Medical Surge and Mass Prophylaxis Capabilities</b>	<ul style="list-style-type: none"> <li>• Medical Surge</li> <li>• Mass Prophylaxis</li> </ul>
<b>Strengthen Planning and Citizen Preparedness Capabilities</b>	<ul style="list-style-type: none"> <li>• Planning</li> <li>• Citizen Evacuation and Shelter-in-Place</li> <li>• Mass Care (Sheltering, Feeding, and Related Services)</li> <li>• Community Preparedness and Participation</li> </ul>

DHS is in the process of developing greater visibility, as a result of current initiatives mentioned previously such as the SPRs, into how homeland security partners define current and target capability levels, as well as the measured progress of capability improvements. By combining the baseline capability data with a snapshot of current levels of capability and the amount of DHS financial and technical assistance provided, DHS will be able to assess the effectiveness of its capability investments. In addition, the DHS FY 2008 Grants Program will be adopting a new performance measure—the “percent of analyzed capabilities performed acceptably in exercises”—which will focus

on measuring progress in terms of capabilities. Future data generated on capability performance will also enable a more accurate analysis of the level of achievement of the National Priorities associated with specific capabilities.

The DHS HSGP will also be implementing other performance measures, which may indicate the effect of Federal grants on recipients' progress toward goals and objectives that support the Guidelines and National Priorities. These measures include:

- Percent of State and local homeland security agency grant recipients reporting significant progress towards identified goals and objectives.
- Percent of urban area grant recipients reporting significant progress towards identified goals and objectives.

**Overarching Findings.** The challenges of measuring progress toward an undefined preparedness end-state notwithstanding, DHS can provide meaningful insights into improvements in each of the priority areas. Overall, starting in FY 2006, all State and UASI requests for grants were required to map to at least one of the eight Federal preparedness priorities. The following is summary of accomplishments for each of the National Priorities:

- ***Expand Regional Collaboration.*** States and urban areas have allocated nearly \$1.1 billion of homeland security grant funds to improve regional collaboration since FY 2004. In addition, DHS is currently empowering the regional offices of its components to further support regional collaboration initiatives.
- ***Implement the National Incident Management System and National Response Plan.*** Over 96 percent of States and nearly all of the reporting Federal departments/agencies (only 32 percent of Federal departments/agencies reported) assessed themselves as fully compliant with NIMS standards. The majority of States and urban areas reported having plans that are fully or partially adequate to respond to a catastrophic incident. The successor to the National Response Plan, the National Response Framework, was developed in close consultation with homeland security partners and has been broadly accepted.
- ***Implement the National Infrastructure Protection Plan.*** DHS released and is currently implementing the June 2006 NIPP. Implementation accomplishments include completion of specific plans for each of the 18 critical infrastructure sectors, implementation of chemical security regulations, and the evaluation of almost two-thirds of the Nation's passenger and mass transit systems. By the end of FY 2007, Buffer Zone Protection Plans had been implemented at over 90 percent of high-priority sites.
- ***Strengthen Information-Sharing and Collaboration Capabilities.*** Fifty-seven intelligence fusion centers have been established across 44 States. States and urban areas have allocated more than \$1 billion of

homeland security grant funds to information sharing and collaboration. At the Federal level, the President issued the National Strategy for Information Sharing to prioritize and unify the Nation's efforts to advance the sharing of terrorism-related information. The Strategy sets forth a plan to establish a national Information Sharing Environment (ISE).

- ***Strengthen Interoperable and Operable Communications Capabilities.*** From FY 2004 through FY 2007, over \$2.8 billion in homeland security grant funds have been used by States and urban areas to support interoperable communications. Through exercised TICPs, by the end of FY 2007 75 urban and metropolitan areas had effectively established regional interoperability. Through SAFECOM, DHS has provided interoperability guidance, tools and templates to State, local, tribal, and territorial emergency response agencies. Using homeland security grant funds, States and urban areas allocated over \$330 million to support interoperable communications in FY 2007.
- ***Strengthen CBRNE Detection, Response, and Decontamination Capabilities.*** Since FY 2004, States and urban areas have allocated nearly \$2.1 billion of homeland security grant funds to improve their CBRNE capabilities. DHS deployments of CBRNE detectors include 527 biological monitors in major urban areas, 1,062 radiation portal monitors along the northern and southern borders, and more than 21,000 personal radiation detectors. In the training arena, DHS has provided nuclear detection and radiological training to 2,041 law enforcement officials.
- ***Strengthen Medical Surge and Mass Prophylaxis Capabilities.*** Department of Health and Human Services (HHS) grant and cooperative agreement funding has supported State initiatives to: develop and exercise pandemic response plans; improve surge capacity and enhance community and hospital preparedness for public health emergencies; and build healthcare partnerships to improve hospital and emergency department surge capacity. HHS has invested heavily in medical countermeasures for the SNS, including vaccines for smallpox and anthrax as well as antiviral courses for pandemic influenza.
- ***Strengthen Planning and Citizen Preparedness Capabilities.*** States and urban areas have allocated nearly \$140 million of homeland security grant funds towards the priority of strengthening planning and community preparedness over the FY 2004-FY 2007 period. The Federal Government has further supported community preparedness through the creation of Citizen Corps and the Ready Campaign. Nationwide reports indicate that 78 percent of the U.S. population is covered by the 2,340 local and tribal Citizen Corps Councils currently in operation.

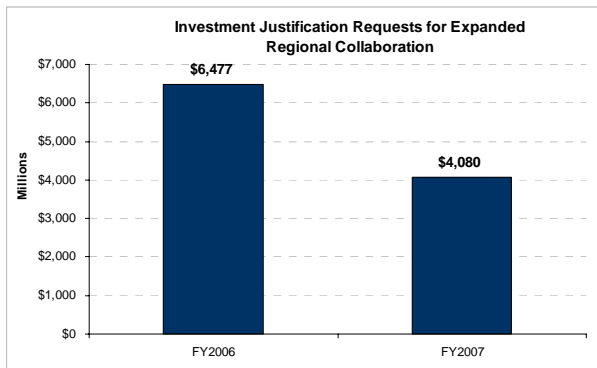
The remainder of this section explores each National Priority in detail.

**Preparedness Priority: Expand Regional Collaboration.** The 2007 Guidelines established the goal of developing regional collaboration.<sup>8</sup> As explained in the Guidelines, regional collaboration establishes standardized structures and processes that enable entities to manage preparedness and operational activities consistently and effectively. In addition, regional collaboration requires Federal, State, tribal, territorial, and local entities to communicate and coordinate with one another, the private sector, nongovernmental organizations, and individual citizens.

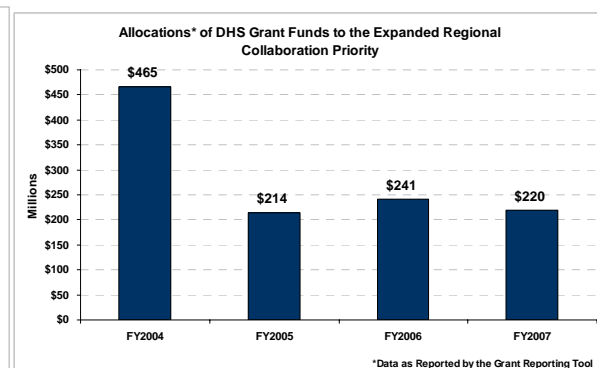
In order to achieve the Expand Regional Collaboration priority, DHS has:

- Provided grant funding totaling \$220M in FY 2007 that States and UASI areas used to promote regional collaboration;
- Empowered FEMA regional offices; and
- Supported regional preparedness through supporting plans, initiatives, and other programs.

**Figure 24: Expand Regional Collaboration State Investment Justifications**



**Figure 25: Expand Regional Collaboration Priority Grant Allocations**



States and UASI areas requested over \$10 billion from DHS in FY 2006 and FY 2007 to assist in fulfilling this priority (see Figure 24).<sup>9</sup> Over the FY 2004–FY 2007 period, State and UASI areas allocated approximately \$1.1 billion of HSGP funding to support regional collaboration (see Figure 25).<sup>10</sup>

These funds have been used for a variety of regional collaboration investments. For example, SHSP grants funded technology purchases that enable collaboration to improve regional public safety, emergency management, and emergency medical services. Metropolitan Medical Response System (MMRS) grants to the 124 jurisdictions participating in the MMRS program also supported the expansion of regional collaboration

<sup>8</sup> In March 2005, the Interim National Preparedness Goal established Expanding Regional Collaboration as one of eight National Priorities.

<sup>9</sup> The 37 percent decrease in funding requests over the FY 2006–FY 2007 period may be an indication of the progress achieved since FY2005 toward realizing this priority.

<sup>10</sup> 36 percent of total funding was allocated in FY 2004.

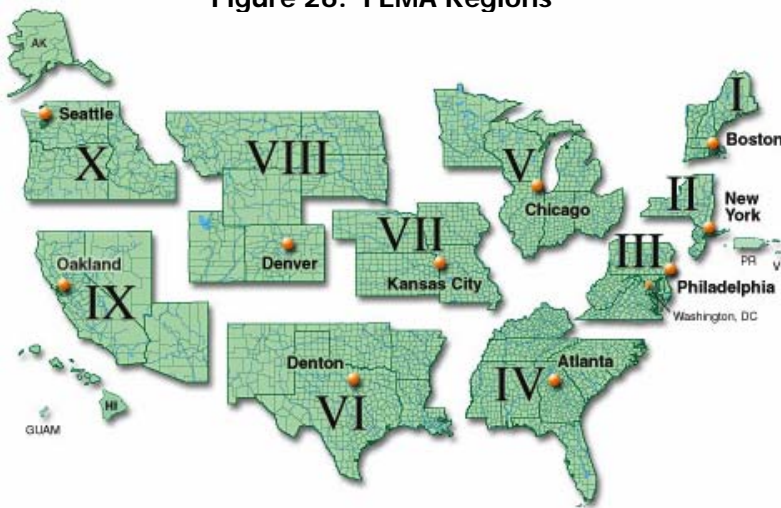
## ORGANIZE, EQUIP, AND TRAIN

activities. MMRS jurisdictions are highly populated areas, encompassing multiple jurisdictions that require multijurisdictional planning and collaboration. The MMRS serves not just the designated population center, but rather is designed to respond to any major medical emergencies in the surrounding region.

DHS efforts to expand regional collaboration, of course, are not limited to grant funding. DHS facilitates regional collaboration through plans, initiatives, and other programs. These include Multi-State Expanded Regional Collaboration Initiatives such as the Four Corners Regional Homeland Security Initiative and Quad State Interoperability Initiative (QSII), which receive grant funding through homeland security State and UASI grants. For example, FEMA implemented the Regional-National Preparedness Concept of Operations plan. SHSP allocations supported statewide regional workshops for elected officials and senior executive staff.

In 2006, DHS and its homeland security partners conducted five regional Hurricane Preparedness Exercises. In addition, DHS conducted Gap Analysis Program (GAP) assessments to identify regional resource gaps in hurricane-prone FEMA Regions. Finally, in January 2008, DHS announced the implementation of the Regional Exercise Support Program, which supports and promotes regionally coordinated exercise initiatives.

**Figure 26: FEMA Regions**



DHS has also been expanding regional collaboration through the empowerment of FEMA regional offices. In particular, DHS is empowering regional offices (see Figure 26) through increased staffing and resources, and with more hands-on responsibilities and programs once housed in FEMA Headquarters. FEMA regional offices are actively working to build more partnerships with State, tribal, territorial, and local governments, as well as private-sector and community organizations. An example of this is FEMA representation at State and regional Training and Exercise Planning Workshops (T&EPWs). In support of this objective, FEMA has hired 9 out of 10 of needed FPCs as of March 2008. The FPCs will work to strengthen FEMA

## ORGANIZE, EQUIP, AND TRAIN

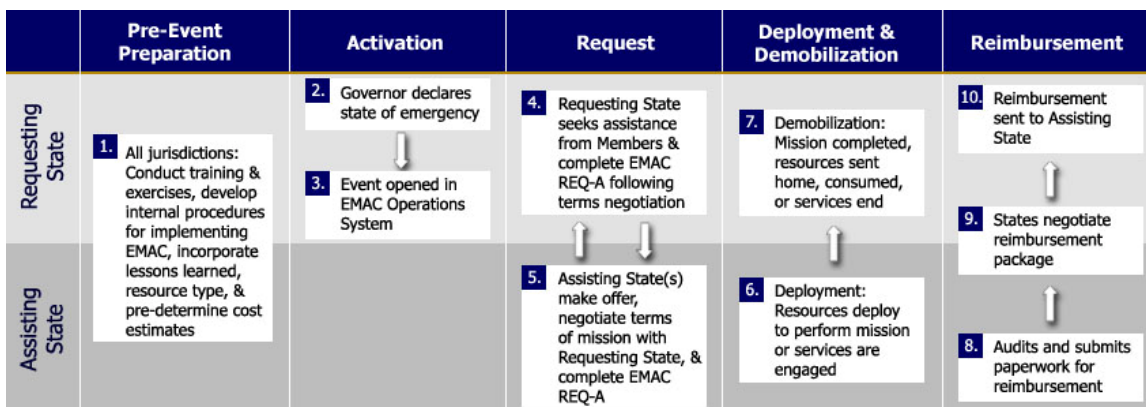
relationships with State and local officials and promote information sharing. For example, the FPCs will participate in existing interagency, intergovernmental, and nongovernmental coordination bodies and workshops.

Another important vehicle for regional collaboration is the non-governmental Emergency Management Assistance Compact (EMAC), a congressionally-ratified interstate mutual aid agreement that includes all 50 States; Washington, DC; Puerto Rico; Guam; and the U.S. Virgin Islands. EMAC enables member States and territories to request resources from one another during major incidents using common procedures that facilitate the rapid provision of resources and track the information necessary to provide reimbursement for that assistance.

For example, in 2004, EMAC facilitated the response to Hurricane Dennis, a hurricane with the potential for catastrophic impact, and did so again in 2005 during Hurricanes Katrina and Rita. In 2005 over 66,000 response and recovery personnel (with their equipment and supplies) were mobilized to respond to member states in need. This response, the largest mutual aid deployment in our Nation's history was heralded as a success story by after-action reports (AARs). Since 2005, EMAC has been activated over 90 times at the request of member states.

FEMA supports EMAC by providing guidance through the EMAC Advisory Group and providing NIMS resources for EMAC to use as templates for typing resource and developing State mission packages. FEMA also provides direct financial assistance to EMAC. In FY 2007, FEMA awarded EMAC \$1,005,000 in grants. This funding was used to improve administrative support and to implement enhancements to the EMAC Operations System, which tracks resources deployed through EMAC agreements.

**Figure 27: EMAC Mutual Aid Process**





**Preparedness Priority: Implement the National Incident Management System and National Response Plan.** See pages 15-20, in the Plan section of this report.

**Preparedness Priority: Implement the National Infrastructure Protection Plan.** See pages 20-26, in the Plan section of this report.

**Preparedness Priority: Strengthen Information-Sharing and Collaboration Capabilities.** The Guidelines highlight that effective information sharing and collaboration enable the seamless collection, analysis, dissemination, and use of information. The development of enhanced information-sharing capabilities facilitates the development of a real-time common operating picture and effective terrorism prevention, protection, response, and recovery.

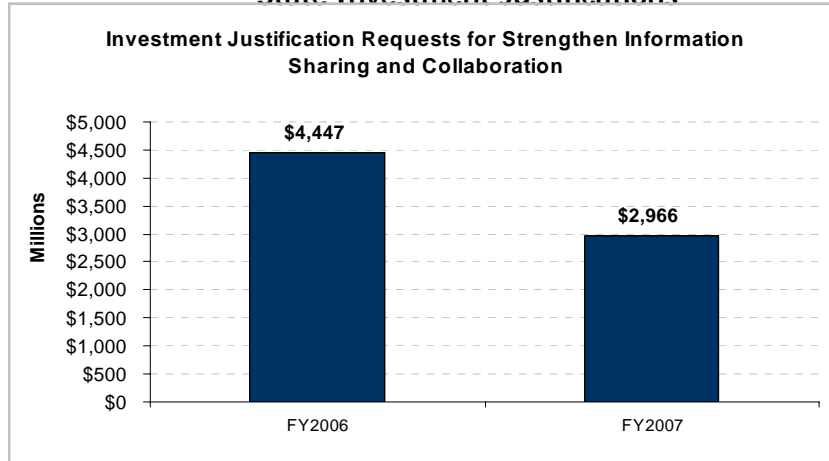
To achieve this priority, DHS has:

- Developed supporting strategies, plans, guidance, and standards;
- Provided grant funding for State and local information-sharing initiatives;
- Supported the development and staffing of fusion centers;
- Supported the development and use of information-sharing systems; and
- Exercised information-sharing capabilities through prevention exercises.

DHS has supported the development and implementation of information-sharing and collaboration strategies, plans, guidance, and standards. The October 2007 National Strategy for Information Sharing provides a national-level strategy articulating broad vision and goals for information sharing. The November 2006 Information Sharing Environment (ISE) Implementation Plan addresses the requirement for a system to share terrorism information in a manner consistent with national security and with legal standards for privacy and civil liberties. The October 2005 Law Enforcement Information Sharing Program delineates guiding principles, a policy framework, and functional requirements necessary to facilitate multijurisdictional law enforcement information sharing. The Fusion Center Guidelines provide guidance for developing and operating a fusion center within a State or region. Finally, the July 2007 National Information Exchange Model provides a framework for developing and implementing technical standards and tools for information exchange.

## ORGANIZE, EQUIP, AND TRAIN

Figure 28: *Strengthen Information Sharing and Collaboration* Priority State Investment Justifications



Internally, DHS has taken a number of steps to enhance information sharing within the department and between its component organizations. To this end, DHS has:

- Established an Information Sharing Governance Board (ISGB) to serve as the decision-making body for all information sharing and collaboration activities within the Department;
- Formed the DHS Information Sharing Coordinating Council (ISCC) to provide working-level deliberation and support to the ISGB;
- Established the Shared Mission Communities (SMCs), cross-cutting information sharing efforts that bring together all of the relevant organizations within DHS that share common missions and objectives; and
- Established an Interagency Remote Sensing Coordination Cell (IRSCC) comprising 15 Federal agencies to coordinate remote-sensing collection capabilities during emergency response operations and provide improved situational awareness.

Information Sharing/Fusion was also identified as a funding priority in FY 2006 and FY 2007 HSGP grant guidance. States and urban areas requested over \$7 billion from DHS in FY 2006 and FY 2007 to assist in fulfilling this priority (see Figure 28). Between FY 2004 and FY 2007, States and urban areas allocated more than \$1 billion of homeland security grant funds to this priority (see Figure 29 on the next page).<sup>11</sup>

Sample grant-funded activities in this priority include:

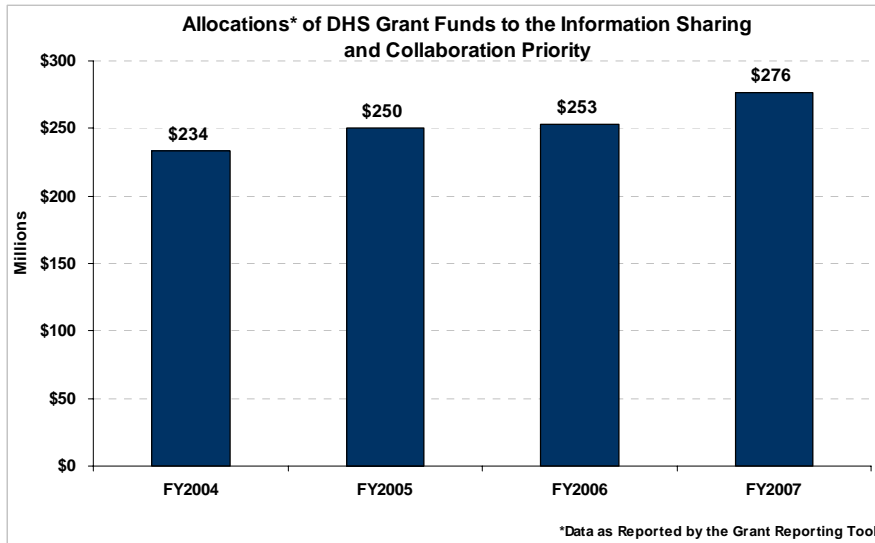
- Funding State intelligence analysts and officers to collect, filter, analyze, and disseminate intelligence developed from a sources' raw information;

<sup>11</sup> Over this time, DHS has steadily increased funding allocations to support State and local information-sharing capabilities.

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- Providing intelligence-gathering and information-sharing capabilities to 50 percent of a particular State's local jurisdictions within three years; and
- Improving linkages between regional intelligence facilities and joint terrorism task forces.

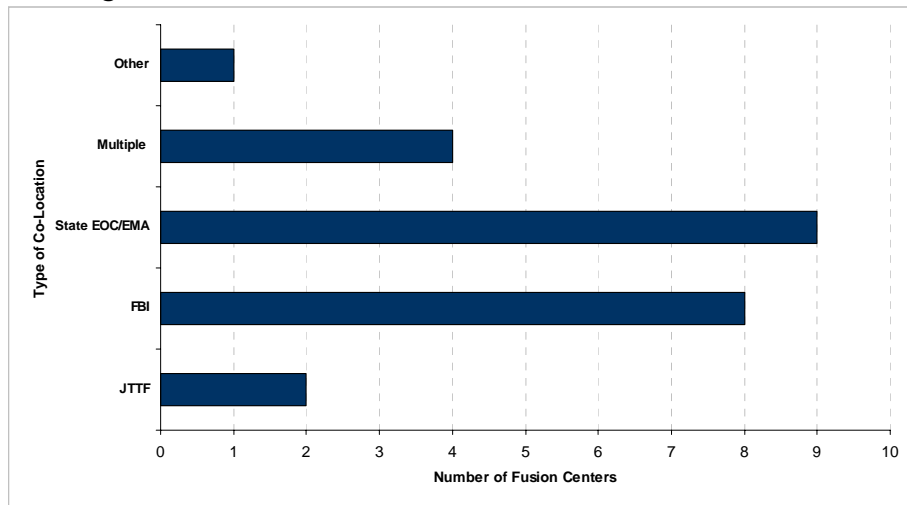
**Figure 29: Strengthen Information Sharing and Collaboration Priority Grant Allocations**



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At the State and local levels, DHS efforts have supported the development of fusion centers and other terrorism intelligence activities. In FY 2006 and FY 2007, States and localities used DHS grants to fund more than 500 projects related to establishing or enhancing fusion centers and terrorism early warning capabilities. As of 2007, 57 fusion centers have been established across the United States; forty-five States had at least one fusion center, while nine States had more than one (see Figure 31 on the next page). Many of these fusion centers have been integrated with Federal, State, tribal, territorial, and local operations. As Figure 30 highlights, 42 percent of fusion centers are co-located with another entity such as a State Emergency Operations Center (EOC), the Federal Bureau of Investigation (FBI), or a Joint Terrorism Task Force (JTTF).

**Figure 30: Fusion Centers Co-Located With Other Entities**



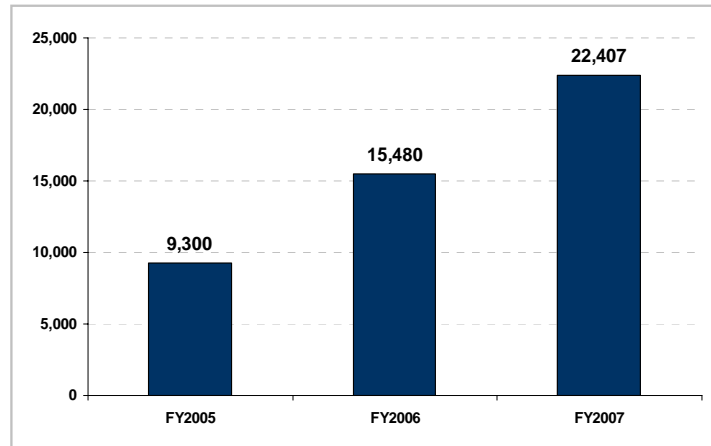


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There are a number of important indicators that Federal, State, tribal, territorial, and local use of information-sharing and collaboration systems has increased in significant ways. For example, the Homeland Security Information Network (HSIN) connects all 50 States, five territories, Washington, DC, and 50 major urban areas, enabling collection and

dissemination of information between Federal, State, tribal, territorial, and local agencies involved in combating terrorism. HSIN connectivity has spread to over 22,000 Federal, State, tribal, territorial, and local agencies, representing a 200 percent increase since FY 2005 (see Figure 32). This increased networking and information-sharing supports improved, shared situational awareness across multiple jurisdictions as well as levels of government.

**Figure 32: Federal, State, and Local Agencies Connected to HSIN**



Although the total number of HSIN user accounts has increased since the system was deployed, a Government Accountability Office (GAO) report found that the actual use of three of the primary HSIN portals—law enforcement, emergency management, and counter-terrorism—has remained consistently low. However, as of June 2007, DHS' Office of Operations Coordination had taken recommended steps to address the communication, coordination, and system guidance shortfalls of HSIN, to improve the system's utility and effectiveness. These actions included:

- Creating an HSIN Joint Program Office to develop training initiatives;
- Establishing a Stakeholder Relationship Management team to engage stakeholders and communicate the mission and vision of HSIN;
- Aligning business processes, coordinating requirements, and creating cross-functional governances for HSIN through the HSIN Work Group; and
- Ensuring that performance metrics were established, instituted, and used to determine system and information sharing effectiveness.

DHS is currently developing the Homeland Security Data Network (HSDN), a Secret classified information-sharing system that will provide a network for secure information to reach geographically dispersed DHS intelligence gathering units, operational components, and appropriately cleared Federal, State, tribal, territorial, and local homeland security stakeholders such as fusion centers.

**Preparedness Priority: Strengthen Interoperable and Operable Communications Capabilities.** The 2007 National Preparedness Guidelines established the goal of developing State, tribal, territorial, and urban-area interoperable and operable communications capabilities to target levels.<sup>12</sup> Interoperable communications enable agencies to share information on demand and in real time, when needed and as authorized. Operable communications enable the provision and maintenance of a continuous flow of information among responders throughout an emergency response operation.

In order to achieve this goal, DHS has:

- Provided guidance through the SAFECOM program; and
- Provided grant funding for State and local interoperable communications initiatives.

The SAFECOM program—a communications program supported by the DHS Office of Emergency Communications and Office of Interoperability and Compatibility—conducts interoperability research, development, testing, and evaluation, and provides guidance, tools, and templates to Federal, State, tribal, territorial, and local emergency response agencies, including:

- ***Interoperability Continuum.*** Assists in planning and implementing interoperability solutions by describing critical success elements:
  - Governance
  - Standard Operating Procedures
  - Technology
  - Training and Exercises
  - Usage
- ***Operational Guide for the Interoperability Continuum: Lessons Learned from RapidCom.*** Provides framework for communications interoperability planning efforts for each area of the continuum.
- ***Statement of Requirements.*** Defines equipment design requirements for achieving interoperability.
- ***Statewide Communications Interoperability Planning Methodology.*** Provides guidance for developing a statewide strategic plan for interoperability.

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<sup>12</sup> In March 2005, the Interim National Preparedness Goal established Strengthening Interoperable and Operable Communications as one of eight National Priorities. In September 2007, the finalized National Preparedness Guidelines rearticulated this National Priority. In addition, In FY 2006 and FY 2007, HSGP grant guidance identified Communications as a funding priority.

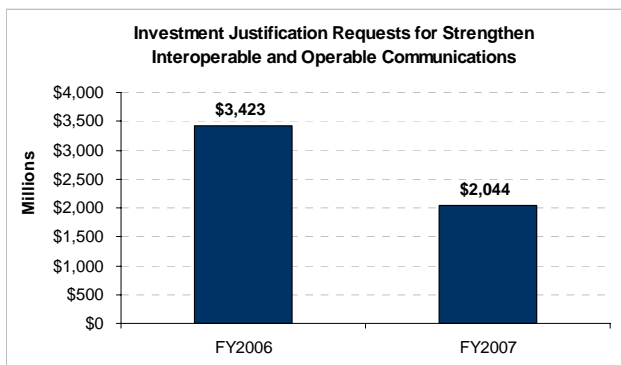
## ORGANIZE, EQUIP, AND TRAIN

- **Public Safety Architecture Framework.** Supports the development of interoperable communications architectures for public safety organizations.
- **Plain Language Guide: Making the Transition from Ten Codes to Plain Language.** Outlines approach for States, localities, and emergency response agencies to replace coded language radio transmissions with plain language.

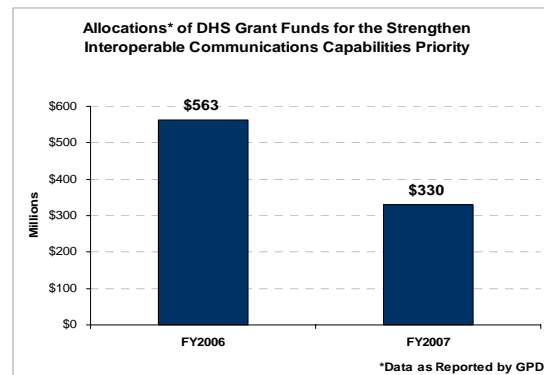
In terms of grant funding, States and UASIs requested over \$5 billion from DHS in FY 2006 and FY 2007 to assist in fulfilling this priority (see Figure 33).<sup>13</sup> From FY 2006 to FY 2007, States and urban areas allocated over \$893 million of grant funds to support interoperable communications (see Figure 34). Sample grant-funded activities include:

- SHSP funds supported the purchase of hand-held and trunking radios.
- LETPP funds supported the purchase of radio networking devices and satellite equipment.

**Figure 33: Strengthen Interoperable and Operable Communications State Investment Justifications**



**Figure 34: Strengthen Interoperable and Operable Communications Priority Grant Allocations**



In addition to grant funding, the Federal Government has supported numerous initiatives to improve communications interoperability and operability, including:

- **Federal Partnership for Interoperable Communications.** Fosters intergovernmental coordination by addressing technical and operational activities within the Federal wireless communications community.
- **RapidCom Initiative.** Establishes a minimum level of interoperability in the top ten U.S. high-risk urban areas.
- **Establishment of the Emergency Communications Preparedness Center.** An interdepartmental organization to assess and coordinate Federal operability and interoperability assurance efforts by serving as

<sup>13</sup> From FY 2006-FY 2007, these funding allocations requests decreased by 40 percent.



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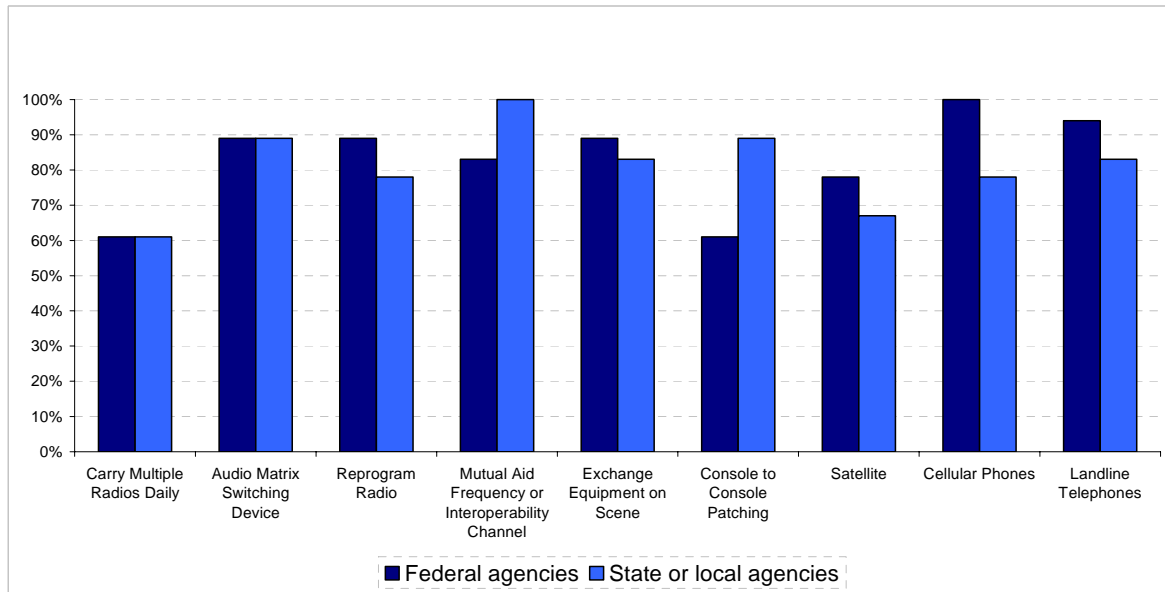
the focal point for Federal agencies as a clearinghouse for activities on interoperable emergency communications, and preparing annual strategic assessments regarding the coordination efforts of Federal departments/agencies to advance interoperable communications.

According to the National Interoperability Baseline Survey, roughly two-thirds of Federal, State, tribal, territorial, and local agencies report using interoperability in operations. State and local agencies, in particular, regularly use interoperability solutions, resulting in a high level of State and local proficiency with interoperability solutions. Most Federal, State, tribal, territorial, and local agencies use multiple communications methods to achieve voice interoperability (see Figure 36 on the next page), which indicates the complexity of the interoperability challenge and the governmental commitment to achieving a solution.

**Figure 35: The High-Risk Metropolitan Area Interoperability Assistance Project**

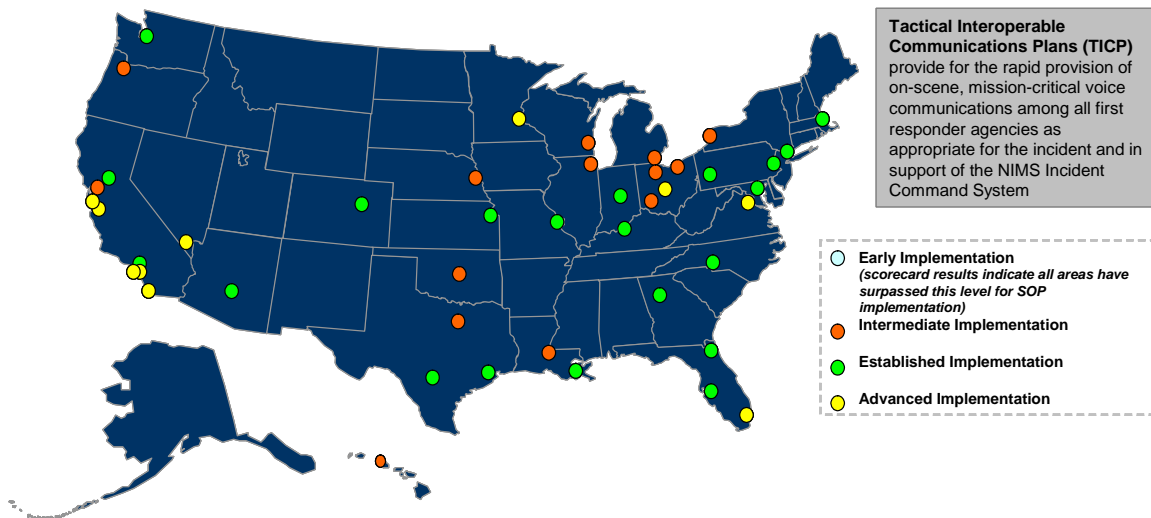


Figure 36: Use of Interoperability Solutions



Another indication of the progress made towards interoperability has been the nationwide development and implementation of TICPs. TICPs provide for the rapid provision of mission-critical, interoperable voice communications among all responders for an incident in a given jurisdiction. In 2006, DHS required 75 urban and metropolitan areas to develop and test their TICPs with full-scale exercises that were evaluated in part by DHS-designated observers. All 75 urban and metropolitan areas developed regional communications committees, regional equipment inventories, and regional standard operating procedures. By 2007, 68 percent of these urban areas had effectively established regional interoperability.

Figure 37: Tactical Interoperable Communications Plans Standard Operating Procedure Implementation Status



**Preparedness Priority: Strengthen CBRNE Detection, Response, and Decontamination Capabilities.** The National Preparedness Guidelines reaffirm Strengthen CBRNE Detection, Response, and Decontamination Capabilities as one of the eight National Priorities. Effective CBRNE detection infrastructure will ensure CBRNE materials are rapidly detected, identified, and safely managed at borders, critical locations, events, and incidents.

To realize this priority, DHS has:

- Developed supporting strategies, plans, guidance, and standards;
- Provided grant funding for national, State, and local CBRNE initiatives; and
- Directly supported monitoring and training efforts in a variety of programs.

In terms of strategies, plans, guidance, and standards, DHS has developed the NRF Nuclear/Radiological Incident Annex and Biological Incident Annex. These NRF Annexes establish an integrated framework for a coordinated Federal response to nuclear, radiological, and biological incidents, particularly events involving radiological dispersal devices (RDDs). The Chemical Facility Anti-Terrorism Standards Interim Final Rule (June 2007) imposes comprehensive Federal security regulations for high-risk chemical facilities.

In terms of grant funding of this priority, States and UASIs requested more than \$4 billion from DHS in FY 2006 and FY 2007 to assist in fulfilling this priority (see Figure 38).<sup>14</sup> From FY 2004, States and urban areas allocated nearly \$2.1 billion of DHS grant funds to improve their CBRNE capabilities (see Figure 39). Of these funds, States and urban areas allocated:

- Over \$800 million to enhance capabilities to respond to CBRNE events;
- Over \$580 million to establish/enhance regional response teams; and
- Over \$40 million to establish/enhance explosive ordnance disposal units/bomb squads.

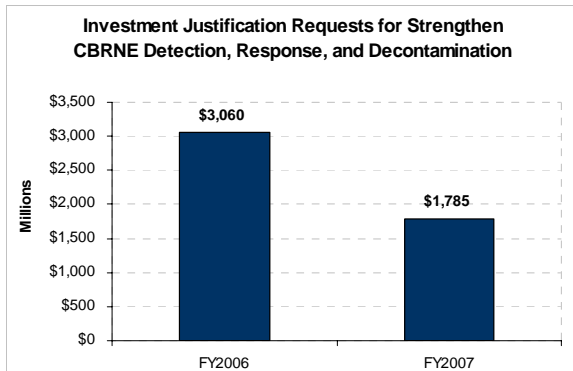
Sample grant-funded activities included:

- SHSP funds for the enhancement of CBRNE response capability through equipment purchases and CBRNE training; and
- LETPP support for hazardous material rapid response equipment.

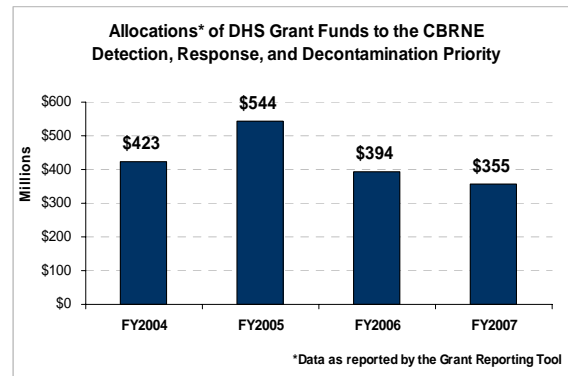
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<sup>14</sup> From FY 2006 to FY 2007, funding requests decreased 42 percent.

**Figure 38: Strengthen CBRNE Detection, Response, and Decontamination State Investment Justifications**



**Figure 39: Strengthen CBRNE Detection, Response, and Decontamination Priority Grant Allocations**



In addition to providing grants, DHS and its Federal homeland security partners have directly invested in CBRNE detection solutions. DHS will devote \$403.8 million to fund the development, testing, evaluating, acquiring, and deployment of radiation detection research and development efforts.

For example, in terms of specific investment results, DHS has deployed a total of 527 biological monitors in major urban areas. The DHS Domestic Nuclear Detection Office (DNDO) and U.S. Customs and Border Protection (CBP) have deployed radiation detection network connections to ports to transmit data for analysis, targeting, and response; and established around-the-clock tactical targeting and analytical research support for cargo-related antiterrorism targeting and screening. CBP, with assistance from the DNDO, has deployed over 1,000 radiation portal monitors, issued over 1,100 radiation isotope identification devices (RIIDs) and issued more than 16,000 had-held personal radiation detectors (PRDs). CBP presently operates 1,072 radiation portal monitors deployed nationwide:

- 59 at International Mail and Express Consignment Courier Facilities;
- 246 at Northern Border land crossings;
- 398 at domestic seaports;
- 356 on the Southwest border; and
- 13 at other sites.

The U.S. Coast Guard (USCG), through a collaborative agreement with the DNDO, has acquired radiological and nuclear detection equipment for use by patrol vessels and boarding teams. As of February 2007, over 3,000 PRDs; 560 RIIDs, and 140 wide-area search gamma/neutron detection systems have been fielded through this partnership.

CBP also utilizes nearly 200 large scale non-intrusive inspection devices to examine cargo entering the U.S., and over 1,000 canine detection teams—

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capable of identifying narcotics, bulk-currency, human beings, explosives, agricultural pests, and chemical weapons—are deployed at airports, seaports, and border crossings across the country.

In addition to its domestic efforts, DHS has extended its CBRNE detection capabilities abroad through efforts such as the Secure Freight Initiative (SFI) and Container Security Initiative (CSI). In 2007 DHS and the Department of Energy (DOE) National Nuclear Security Administration (NNSA) allocated nearly \$60 million to fund the acquisition and installation of radiation portal monitors at six foreign ports as part of the SFI. Coupled with non-intrusive inspection, three of the six ports have achieved full implementation of the SFI and are scanning 100 percent of all U.S.-bound maritime cargo. The limited implementation at the three other ports will provide a model for SFI implementation at large volume and transshipment ports.

The CSI supports DHS/CBP efforts to examine high-risk maritime containerized cargo at 58 participating foreign seaports before they are loaded on vessels bound for the United States. CSI screens 86 percent of all maritime containerized cargo shipped to the U.S. All CSI ports have formal agreements to share critical data, intelligence, and risk management information with CBP to inform cargo-related antiterrorism targeting and screening.

In the biological arena, DHS is set to open the National Biodefense Analysis and Countermeasures Center (NBACC) in 2008. The NBACC will conduct studies and laboratory experiments to improve our understanding of current and future biological threats, vulnerabilities, and impacts. The results of these analyses will help us to better guide the development of detectors, drugs, vaccines, and decontamination technologies.

In the CBRNE training arena, DHS funds and provides a variety of CBRNE-related training through its many training partners and programs. For example, DHS has provided nuclear detection and radiological training to 2,041 law enforcement officers, emergency response personnel, and public officials. From FY 2003 to FY 2007 FEMA's TEI Secretariat trained more than 1,000 students in CBRNE-related courses. The Emergency Management Institute (EMI) trained 1,717 students in resident and offsite resident Radiological Emergency Preparedness (REP) courses during FY 2003 through FY 2007. During the same period, EMI recorded 82,555 student completions of REP independent study courses. Furthermore, the Domestic Preparedness Equipment Technical Assistance Program (DPETAP) has provided on-site technical assistance and training on CBRNE detection and response equipment.

**Preparedness Priority: Strengthening Medical Surge and Mass Prophylaxis.** The Guidelines reaffirm the National Priority, Strengthening Medical Surge and Mass Prophylaxis.<sup>15</sup>

To realize this priority, the Department of Health and Human Services (HHS) has provided grant funding to:

- States for planning and exercising of pandemic influenza response plans and to identify gaps in preparedness;
- Hospitals for preparation and response to bioterrorism and other public health emergencies; and
- Health care Facility Partnerships, aimed at improving hospital surge capacity, emergency care system surge capacity, and community and hospital preparedness for public health emergencies.

States have received grants from HHS (see Figure 41 on the next page). Sample HHS grant-funded activities include:

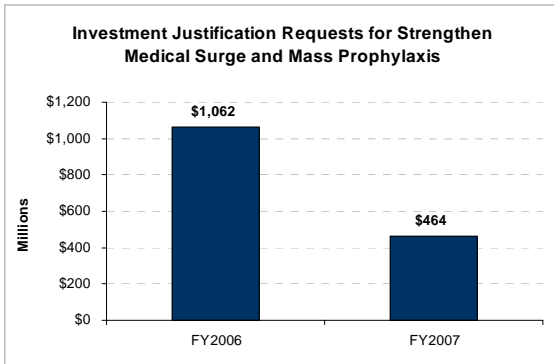
- \$18 million in health care facility partnership grants cooperative agreements in FY 2007.
- \$25 million to five emergency care “best practices” health partnerships.
- \$350 million to States from the Center for Disease Control (CDC) for upgrading pandemic influenza preparedness in FY 2006.
- \$75 million to States for establishing stockpiles of critical medical equipment and supplies.

To ensure the existence of an adequate supply of health professionals to respond to an emergency, HHS, through the Emergency System for Advance Registration of Volunteer Health Professionals (ESAR-VHP) is helping States develop registries of health care volunteers whose identities, credentials, and qualifications have been verified in advance of an emergency.

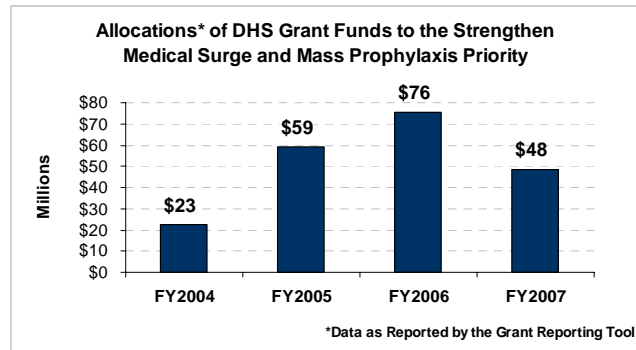
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<sup>15</sup> This Priority was one of the original seven priorities cited in the March 2005 Interim National Preparedness Goal. The September 2007 finalized National Preparedness Guidelines rearticulated this National Priority, setting the priority of developing State, tribal, territorial, and urban-area medical surge and mass prophylaxis to target levels.

**Figure 40: Strengthen Medical Surge and Mass Prophylaxis Capabilities State Investment Justifications**



**Figure 41: Strengthen Medical Surge and Mass Prophylaxis Priority Grant Allocations**



HHS has played the primary Federal role in supporting this National Priority. For example, as Figure 42 demonstrates, from FY 2004 to FY 2006 HHS provided \$2.1 billion to States through the Hospital Preparedness Program in order to expand medical surge capacity. Preparing for and defending against pandemic influenza has been a particular priority of HHS. In FY 2006 alone, the Centers for Disease Control and Prevention (CDC) allocated over \$350M to States for upgrading pandemic influenza preparedness (see Figure 43 on the next page).

**Figure 42: ASPR Funding, FY 2002 –FY2006**

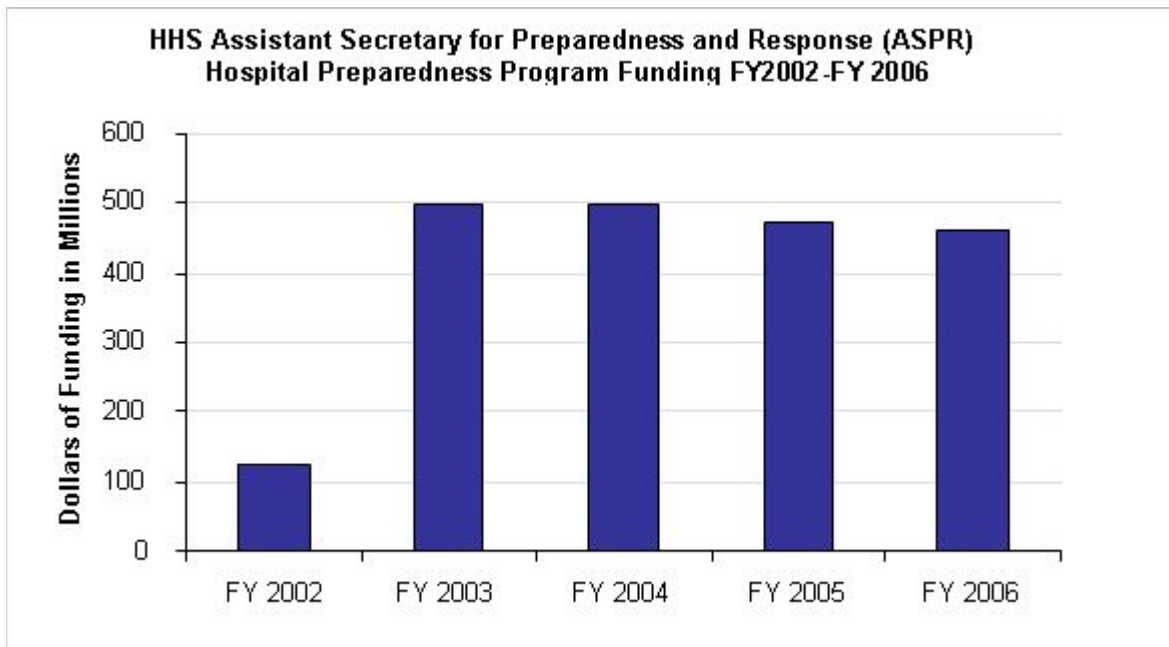
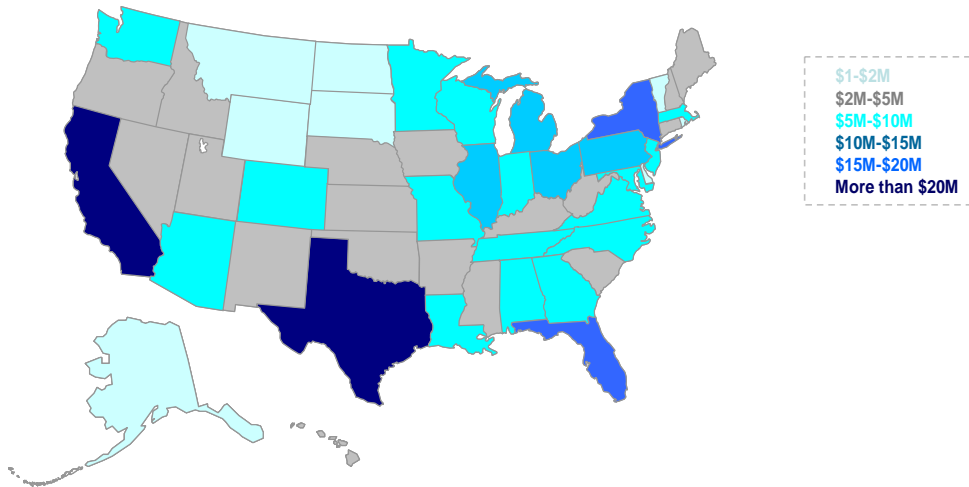


Figure 43: CDC Pandemic Influenza Funding, FY 2006



In April 2007 HHS released the Public Health Emergency Medical Countermeasures Enterprise Strategy for Chemical, Biological, Radiological, Nuclear Threats, and Implementation Plan, which guides the mission to develop and acquire medical countermeasures that will improve public health emergency preparedness for a possible major chemical, biological, radiological, or nuclear incident. HHS has made significant investments in building inventories of priority countermeasures for the SNS. Priority countermeasure investments have been made:

- **Anthrax.** 10 million doses of anthrax vaccine have been produced.
- **Smallpox.** There are sufficient quantities of smallpox vaccine to vaccinate every American.
- **Pandemic Influenza.** Over 50 million pandemic influenza antiviral courses have been stockpiled.
- **Radiological/Nuclear.**
- **Botulism.**

Furthermore, HHS made significant strides towards building national capacity to use the SNS. Partly as a result of targeted funding allocations, 78 percent (42 of 54) of States and directly-funded cities demonstrated preparedness to use SNS assets.

The HHS Healthcare Facilities Partnership Program funds projects that improve surge capacity and enhance community and hospital preparedness for public health emergencies in defined geographic areas. In FY 2007, HHS awarded more than \$18 million in health care facility partnership grants. These grants funded projects such as:

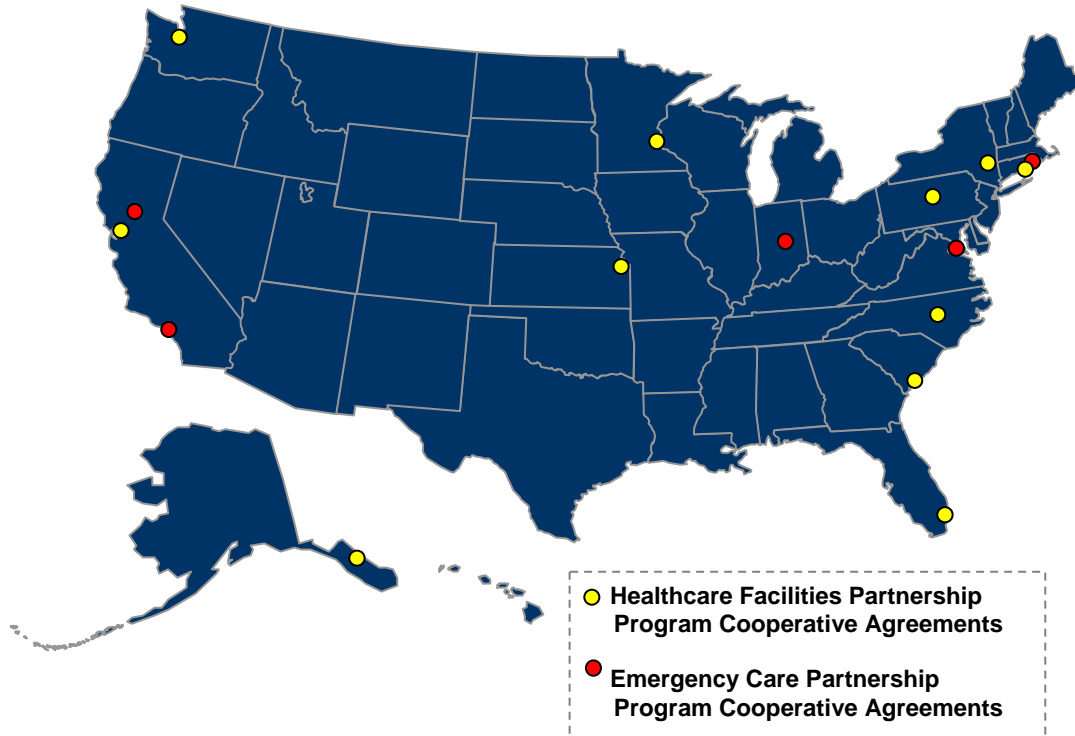
- Planning for medical surge and its regional impact during major public health emergencies;
- Improving regional public health coordination through training, communications, and software;



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- Center for Domestic Preparedness (CDP) training to over 1,000 medical responders since July, 2007 on issues of responding to a medical event; and
- Conducting public health functional exercises.

**Figure 44: Health Care Facilities Partnerships**



States and UASIs requested more than \$1.5 billion from DHS in FY 2006 and FY 2007 to assist in fulfilling this priority (see Figure 40). Over the FY 2004–FY 2007 period, States allocated \$206 million in DHS funds to support medical emergency planning and preparation.

### **Preparedness Priority: Community Preparedness: Strengthening Planning and Citizen Capabilities.**

The September 2007 National Preparedness Guidelines included a new National Priority for Community Preparedness: Strengthening Planning and Citizen Capabilities. This National Priority addresses both Planning and Community Preparedness and Participation, two of the five capabilities in the TCL that cut across all of the mission areas of prevention, protection, response, and recovery. In addition, this priority encompasses the Citizen Evacuation and Shelter-in-Place, and the Mass Care (sheltering, feeding, and related services) capabilities. Hurricane Katrina demonstrated not only the need for renewed emphasis on planning capabilities, especially emergency operations planning, but also on citizen preparedness. In a speech from Jackson Square in New Orleans following Hurricane Katrina in 2005, President Bush highlighted emergency planning as a “national security priority.”

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As defined in the Guidelines, planning is a methodical way to think through the entire life-cycle of a potential crisis. Good planning repays the investment of time and effort in development and rehearsal by shortening the time required to gain control over an incident and by providing favorable conditions for rapid and effective exchange of information about a situation, its analysis, and alternative responses.

Planning helps Federal, State, tribal, territorial, and local governments, as well as non-government and private sector organizations, reorient capabilities and resources to be more agile and ensures organizational structures, processes, and procedures effectively support the intended strategic direction. As stakeholders learn and practice their roles, they can reduce uncertainty, expedite response, and improve effectiveness during the critical initial stages after an event. This effort is a key to success in protecting people and property in crises.

FEMA is working with its Federal partners to implement the Integrated Planning System (IPS) – a process to coordinate and harmonize planning efforts across the Federal Government as well as among Federal, State, tribal, territorial, and local partners.<sup>16</sup>

- The IPS has been developed recognizing that effective homeland security planning can only occur through Federal departments and agencies actively coordinating and synchronizing their planning with each other, as required by the situation.
- The IPS applies to Federal departments and agencies with a role in homeland security when conducting scenario-based planning. The IPS was developed to standardize plans across the Federal government to facilitate integration of plans and planning. IPS accommodates most existing Federal planning systems and thus is largely consistent with the planning systems currently in use across the Federal government. Federal departments and agencies will not be required to discontinue use of successful planning systems or re-draft existing plans to ensure compliance with the IPS. Those agencies with existing plans must

The Catastrophic Disaster Response Planning Initiative is a collaborative approach that addresses critical planning elements that must be intact in the event of a catastrophic disaster. This partnership includes collaboration from the FEMA Disaster Operations, Disaster Assistance, Mitigation, and National Preparedness Directorates; State agencies; the private sector; and other Federal D/As such as the USGS, DHS, NOAA, HHS, EPA, and DoD. Current planning efforts are targeted at four specific venues:

- Southeast Louisiana
- New Madrid Seismic Zone
- State of Florida
- State of California

<sup>16</sup> HSPD 8, "National Preparedness," Annex I (National Planning), calls for an Integrated Planning System that provides a common plan development process and serves to implement the Guidance Phase (phase one) of the Homeland Security Management System (HSMS) identified in the National Homeland Security Strategy.

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ensure the planning products produced with their existing system are compatible with those produced with the IPS. Those agencies without planning processes shall adopt the IPS. Further, the IPS does not replace, but rather complements, the planning process used as part of the ICS established in the *National Incident Management System* (NIMS).

- State, local and Tribal governments are encouraged to comply with IPS by using Comprehensive Preparedness Guide (CPG) 101.<sup>17</sup> The IPS is flexible enough to accommodate the many planning formats, styles, and processes used by State, local and Tribal governments. Over time, the use of IPS will facilitate standardization of plans across the Nation at all levels of government and enhance preparedness. IPS and CPG 101 support national vertical integration by clearly articulating Federal planning procedures to State, local and Tribal governments and by establishing a consistent planning process across all levels of government.
- The IPS establishes a process for developing Federal plans. Initial requirements are based on the current list of National Planning Scenarios (NPS). Every Federal agency with responsibilities enumerated in a CONPLAN shall be required to develop an Operations Plan (OPLAN) for that scenario, to be approved by the head of that agency or a designated representative. Federal agencies are not required to re-write their existing plans based on one or more of the National Planning Scenarios if those documents are compatible with the requirements established in the Strategic Guidance Statements (SGS), Strategic Plan and CONPLAN. Over time, as existing plans are routinely updated and improved, it is expected that agencies may modify their existing plans for compatibility with the formats established in the IPS.
- The IPS is not designed to solve every planning problem. The IPS lays the initial foundation necessary to implement the HSMS. It is a major step in establishing common Federal planning doctrine, providing a means for synchronizing operations across the spectrum of homeland security operations and integrating national planning efforts both horizontally across the Federal Government and vertically among Federal and State, local and Tribal entities. However, further work is necessary to successfully integrate existing Federal guidance, policies, strategies, plans and legislation with the HSMS. Through future IPS refinement and the development of other HSPD-8 Annex I deliverables such as the National Homeland Security Plan (NHSP), the Federal Government remains committed to addressing the following key issues in follow-on efforts:

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<sup>17</sup> CPG 101 meets the Annex I requirement that IPS include a “guide for all-hazards planning ... that can be used at Federal, State, local, and Tribal levels to assist the planning process.”

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- A mechanism to inform National Homeland Security planning efforts through a U.S. Government-wide risk-based analysis process;
- A consistent and standard process to update the NPS;
- A standardized methodology to define, develop, and assess the required national capabilities and capacity necessary to execute IPS-generated plans; and
- A standardized methodology that ensures the success of IPS-generated plans by integrating the Federal budgeting and resourcing processes necessary to execute IPS-generated plans.

The IPS is the first step in standardizing homeland security planning. This will be a dynamic and iterative process for years to come. This document shall be updated one year after approval and then on a bi-annual basis.

In terms of community preparedness, as uniformed emergency responders constitute less than 1 percent of the total U.S. population, it is clear that citizens must be better prepared, trained, and practiced on how best to take care of themselves and assist others in those first crucial hours during and after a catastrophic incident. Citizens can reduce the demand for emergency assistance during catastrophic incidents through preparedness measures and actively contribute to the Nation's response capability by participating in response and recovery activities. A trained and involved public will provide the Nation with a critical surge capacity to augment government efforts in a catastrophic incident.

On the community preparedness side of the ledger, the Federal Government has both built new institutions and invested substantial resources. For example, the Federal Government has:

- Established the USA Freedom Corps as the Nation's highest office responsible for building a culture of service, citizenship, and responsibility. Today, USA Freedom Corps has a database of over 4 million volunteer opportunities from organizations across the country.
- Supported training and equipment purchases for Community Emergency Response Teams (CERTs) through Citizen Corps Program (CCP) and UASI funds.
- Staffed Citizen Corps Planner positions through SHSP funds. Since FY 2004, the number of Citizen Corps Councils has grown from 1,540 to 2,313, increasing the percentage of total U.S. population coverage<sup>18</sup> from 57 percent to 78 percent. All FEMA Regions reported having 58 percent or higher population coverage from Citizen Corps Councils for the States within their respective Regions.

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<sup>18</sup> Population coverage is a measure of the US population living in an area (i.e., county, city) in which there is an active county-, local-, or tribal-level Citizen Corps Council.

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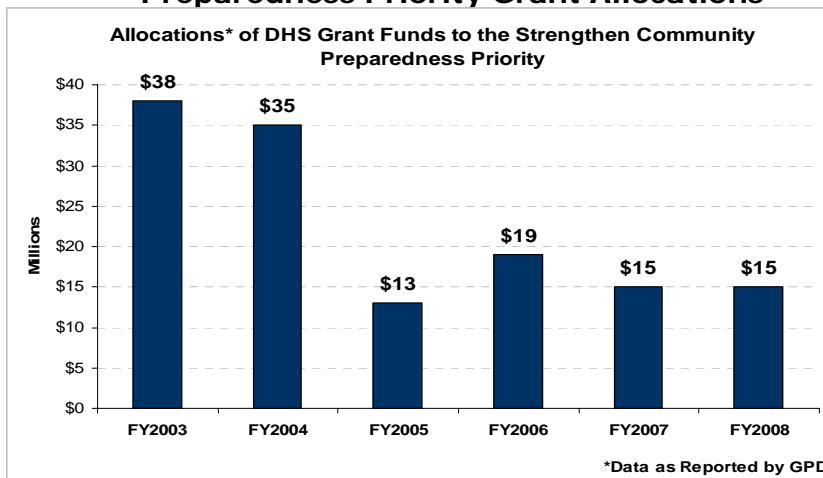
- Created a preparedness coalition of 625 organizations across national, regional, State, and local communities.
- Supported the Ready campaign—a national advertising campaign designed to educate and empower citizens to prepare for and respond to all hazards.

In terms of grant funding, since 2004, community preparedness has been integrated across HSGP guidance, including SHSP, UASI, MMRS, and CCP, and five of the IPP grants (TGSP, Intercity Passenger Rail, Ferry Security Supplemental, Intercity Bus Security, and Trucking Security),<sup>19</sup> making community preparedness activities an eligible expenditure under these funding streams.

Using the eligibility language from the grant guidance, States have elected to use homeland security funding in addition to the CCP allocation to support community preparedness and participation. In fact, States allocated nearly \$140 million for citizen preparedness projects between FY 2004 - FY 2006. Of the almost \$140 million, \$68 million (49 percent) has come from CCP grants and \$71 million (51 percent) has come from DHS funding beyond CCP grants, including funds beyond HSGP.<sup>2021</sup>

In FY 2005, expenditures from non-CCP HSGP funding ranged from \$34,000 to \$5 million; an average of \$360,000 per State. FY 2008 HSGP guidance

**Figure 45: Strengthen Community Preparedness Priority Grant Allocations**



<sup>19</sup> Only Port Security and Buffer Zone Protection grants of the IPP do not explicitly reference Citizen Corps / community preparedness and participation. Community preparedness is not a component of these grants and is therefore not considered an allowable expense.

<sup>20</sup> Information is from the Citizen Preparedness Division (CPD) and is based on a report generated from the December 2006 Bi-Annual Strategy Implementation Report (BSIR).

<sup>21</sup> The \$140M figure is not fully represented in Figure 45 because the \$71M cited is primarily directed toward other priorities, and supports community preparedness only secondarily. Figure 45 includes only funding that is directed primarily toward the Community Preparedness priority.

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allocates funding specifically to community preparedness for the first time as a national priority.

Over the past six years, nearly \$150 million has been distributed in CCP grants to States and territories. State CCP allocations are determined using a formula combining base funding distributed to all States and territories with remaining funds distributed on a population-share basis. Using this formula, State CCP grant allocations funded through \$15 million appropriations range from \$38,000 to \$1.1 million, with the average State CCP grant allocation being \$260,000.

<b>History of Citizen Corps Appropriations</b>	
<b>FY 2002 (Supplemental)</b>	<b>\$25 M (\$6 CC / \$19 CERT)</b>
<b>FY 2003</b>	<b>\$20 M CERT only</b>
<b>FY 2004 *</b>	<b>\$40 M Citizen Corps</b>
<b>FY 2005</b>	<b>\$15 M Citizen Corps</b>
<b>FY 2006</b>	<b>\$20 M Citizen Corps</b>
<b>FY 2007</b>	<b>\$15 M Citizen Corps</b>
<b>FY 2008 **</b>	<b>\$15 M Citizen Corps</b>
<b>FY 2009 – Request</b>	<b>\$15 M Citizen Corps</b>

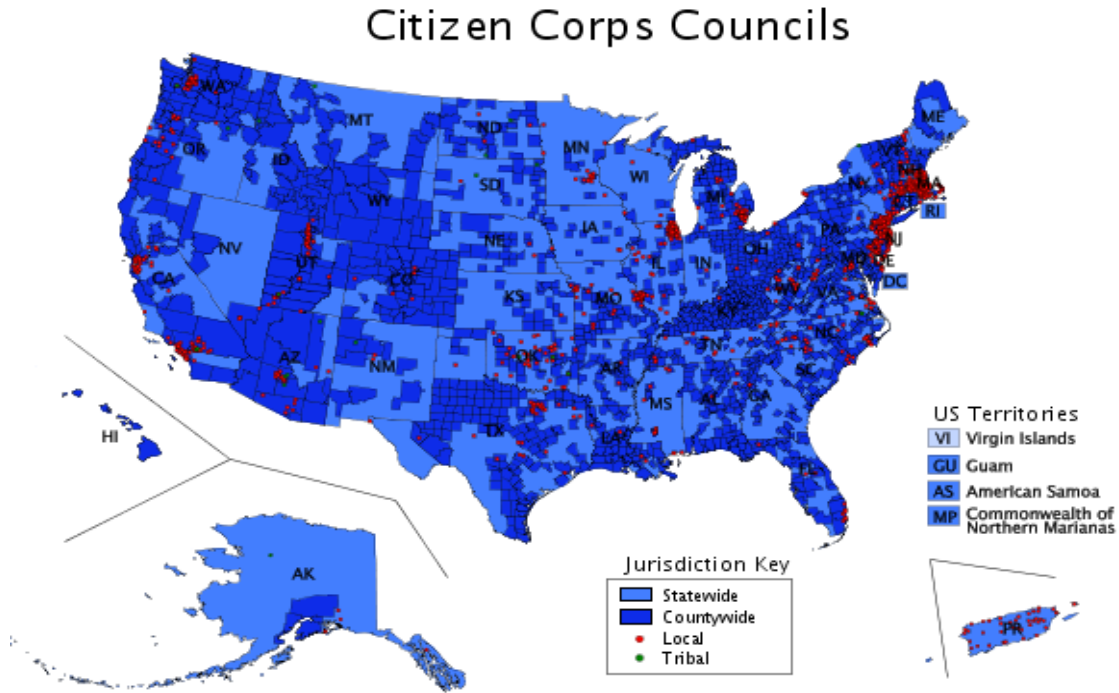
\* Moved from FEMA to ODP  
\*\* Moved from G&T to FEMA

Citizen Corps funding supports States and local communities to:

- Form and sustain a Citizen Corps Council;
- Develop and implement a plan or amend existing plans to achieve and expand citizen preparedness and participation;
- Conduct public education and outreach;
- Ensure clear alerts/warnings and emergency communications to the public;
- Develop training programs for the public;
- Facilitate citizen participation in exercises;
- Implement volunteer programs and activities to support emergency responders;
- Involve citizens in surge capacity roles and responsibilities; and
- Conduct evaluations of programs and activities.

In addition to the above uses, States and urban areas are encouraged to fully leverage all HSGP resources, including CCP funds, for equipment to support volunteer personnel in preparedness and response. In FY 2007, Citizen Corps conducted a thorough review of the equipment listed in the Authorized Equipment List (AEL) and identified over 65 allowable equipment items to be purchased with CCP funds. This gives States and urban areas clearer guidance as to what equipment listed in the AEL is eligible under CCP grants.

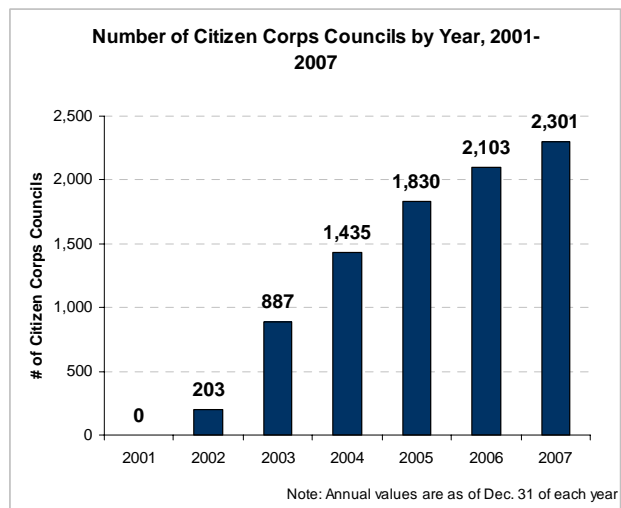
Figure 46: Citizen Corps Council Geographic Dispersion



Created in January 2002, Citizen Corps is FEMA’s grassroots effort to actively involve communities in national preparedness efforts and building resilience through participation with government in planning, prevention, mitigation, response and recovery. FEMA has worked with State, tribal, territorial, and local governments to build a nationwide network of over 2,300 local Citizen Corps Councils, covering approximately 78 percent of the U.S population. Citizen Corps Councils enable collaborative planning between government and civic leaders and provide localized support for:

- Emergency operations planning, outreach and educational efforts to the public;
- Training and exercises that effectively integrate emergency responders, volunteers, and the general public; and

Figure 47: Citizen Corps Council Growth



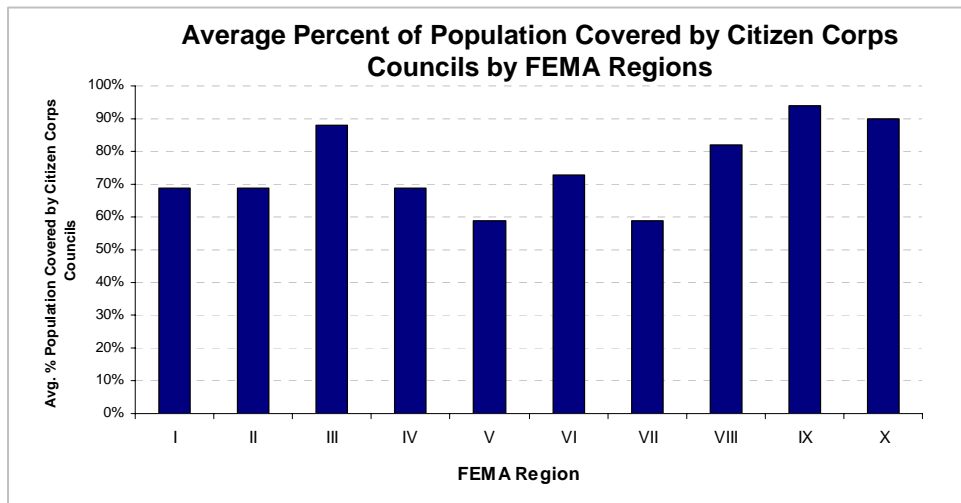
## ORGANIZE, EQUIP, AND TRAIN

- Volunteer programs that augment the full range of emergency response services.

Citizen Corps works closely in partnerships with other Federal agencies and national organizations, including:

- Community Emergency Response Teams
- Medical Reserve Corps (MRC)
- Fire Corps
- USA on Watch/Neighborhood Watch
- Volunteers in Police Service (VIPS)
- DHS Ready Campaign

**Figure 48: Citizen Corps Council Coverage by FEMA Region**



The goal is to expand coverage to as many communities as possible. Figure 48 demonstrates that some regions of the Nation are closer to achieving total population coverage than others, which might mean that some regions will need an additional influx of resources. The graph provides a more nuanced look at Citizen Corps coverage, and provides more actionable information than a national view of coverage. The information in this graph will make it easier to target efforts to raise overall national coverage, making any such efforts more efficient.

The Corporation for National and Community Service has seen AmeriCorps grow by 50 percent to support 75,000 AmeriCorps members each year. Senior Corps has supported more than 500,000 older volunteers annually, and Learn and Serve America has supported more than 1 million students in service each year.

DHS additionally supports community preparedness through various training programs such as:



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- The Leaders Role in Creating Vigilant, Prepared, and Resilient Communities
- Emergency Responders and the Hard of Hearing Community: Taking the First Steps to Disaster Preparedness Train-the-Trainer

The 12 community preparedness-oriented courses offered by EMI were completed a total of 72,799 times in FY 2007, an average of 6,066 completions per course. Since FY 2004, EMI's community preparedness courses have been completed 210,320 times.

In CY 2007, more than 300 exercises conducted incorporated community preparedness-related scenarios into the exercise for testing. The TOPOFF 4 full-scale exercise incorporated community preparedness as an evaluative area in October 2007. In 2008, two Tier I exercises incorporated community preparedness into exercise play:

- Principal-Level Exercise 1-08
- National-Level Exercise (NLE) 2-08

Citizen Corps conducted a Household Survey on Citizen Disaster Preparedness in 2007 that included a set of questions repeated from a baseline survey conducted in 2003. This survey is a random-dial survey of a representative random sample of 2,400 U.S. households. While some progress has been made in certain areas of preparedness, other areas have declined. The survey showed:

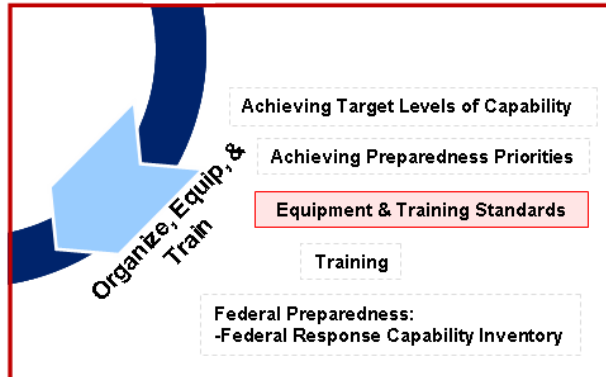
- 73 percent of those surveyed were stocking bottled water, up from 54 percent in 2003.
- 34 percent of individuals surveyed had a stocked first aid kit, a decline from 64 percent in the 2003 survey.
- 42 percent responded that they have a household emergency plan, a decrease from 58 percent in 2003.
- 60 percent of the public surveyed indicated that they are not confident about what to do in the event of a release of a chemical agent or an explosion of a radiological or dirty bomb.
- 23 percent of individuals stated they had given some time in the past 12 months to support emergency responder organizations or an organization that focuses on community safety, such as Neighborhood Watch, up 1 percent from the 2003 survey.
- 32 percent disclosed they had volunteered to help in a disaster at some point in the past (the most frequently mentioned organizations for which individuals had volunteered their time included Neighborhood Watch, the American Red Cross, and local fire and police departments).

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The 2007 Household Survey concluded that the general public is far from the target goals established in the Community Preparedness and Participation capability in the TCL. This survey will be repeated in future years to track progress against these goals.

## EQUIPMENT AND TRAINING STANDARDS

The Equipment and Training Standards section describes the development, promulgation, and regular updating of national standards for equipment and training.



### Equipment Standards.

DHS programs, allocations, and efforts reflect equipment as a top priority and principal focus area for readiness partners. Since FY 2005, DHS has been working with the IAB to support voluntary consensus standards reflected in the AEL. IAB publishes the Standardized

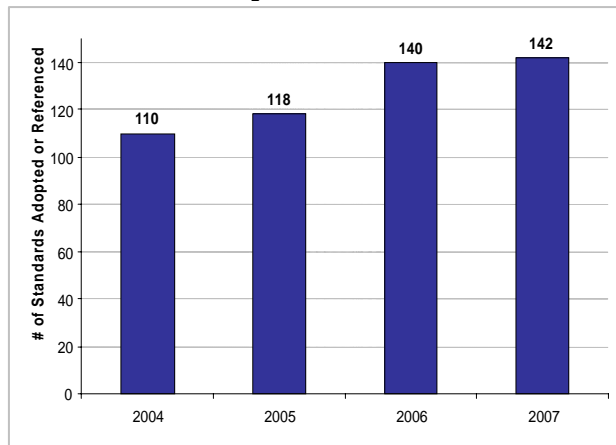
Equipment List (SEL), which serves as the foundation of DHS's AEL. The number of equipment standards included in the SEL increased by approximately 23 percent over the FY 2004–FY 2007 period (see Figure 49). Since FY 2005, allowable grant-funded equipment costs have been based on standardized equipment published in the AEL. The SEL and AEL are used as tools to determine the availability and performance of specific types of emergency equipment.

**This section of the FPR directly addresses one PKEMRA section:**

- **\$647: Equipment and Training Standards**

Standards for interoperable communications equipment are a particular focus of DHS, and are being pursued through Federal support to Project 25. Development and adoption of Project 25 standards will enable interoperability of voice communications equipment, regardless of the manufacturer. Through SAFECOM, DHS supports the acceleration of Project 25 standards and their adoption as national standards.

**Figure 49: Equipment Standards Adopted or Referenced by the IAB, FY 2004–FY 2007**



In addition, DHS has incorporated the accreditation processes of the Emergency Management Accreditation Program (EMAP) to enable States and locals to use an assessment and accreditation standard based on compliance with collaboratively developed national standards. EMAP is not a Federal program, but rather an independent nonprofit organization created by a

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group of national organizations that included national associations and Federal agencies. EMAP provides an assessment and accreditation standard for State tribal, territorial, and local governments based on compliance with collaboratively developed national standards. DHS promotes assessment and accreditation standards on the State and local levels by continuing to provide financial support to EMAP. The Program was created by a consortium of Federal, State, local, and private sector stakeholder organizations.

The EMAP accreditation process includes:

- Self-assessment and documentation of compliance;
- On-site assessment by a team of trained EMAP assessors culminating in an assessment report;
- Committee review of compliance with the Emergency Management Standard by EMAP;
- Commission decision of accreditation; and
- Reaccreditation every five years.

Furthermore, DHS established the System Assessment and Validation for Emergency Responders (SAVER) program to provide the responder community a tool to assess what equipment is available and how reliable it is. SAVER conducts unbiased operational tests on commercial equipment and systems, and provides those results along with other relevant equipment information to the community in an operationally useful form. SAVER also provides information on equipment that falls within the categories listed in the DHS AEL.

DHS also established the Responder Knowledge Base (RKB) as an online tool to assist the responder community in learning about accreditation, certification, and equipment testing-related information. The RKB boasts over 59,000 registered users.

### **Training Standards.**

DHS is developing the HSNTF to coordinate all homeland security training programs and ensure consistent application of training standards. Over 70 training partners nationwide (see Figure 51 on the next page) apply industry-standard curriculum development standards to design and develop training. Training

#### **DHS training references the following voluntary consensus standards:**

- NFPA 471: Recommended Practice for Responding to Hazardous Materials Incidents
- NFPA 472: Standard for Professional Competence of Responders to Hazardous Materials Incidents
- NFPA 473: Standard for Competencies for EMS Personnel Responding to Hazardous Materials Incidents
- NFPA 1600: Standard on Disaster/Emergency Management and Business Continuity Programs
- OSHA 1910.120: Hazardous Waste Operations and Emergency Response
- OSHA 1910.134: Respiratory Protection

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courses are reviewed by the FEMA NIC for compliance with NIMS standards. DHS adopted training standards in accordance with the American National Standards Institute (ANSI) and the National Fire Protection Association (NFPA) in 2004. Safety codes and standards were developed through a process accredited by ANSI-Homeland Security Standards Program.

ANSI developed standards and training in the following areas:

- Personal protective gear for first responders
- Radiation and nuclear detection equipment
- Incident management
- Biometrics
- Selection, care, and maintenance of open-circuit self-contained breathing apparatus (SCBA)
- Protective ensemble for structural and proximity firefighting

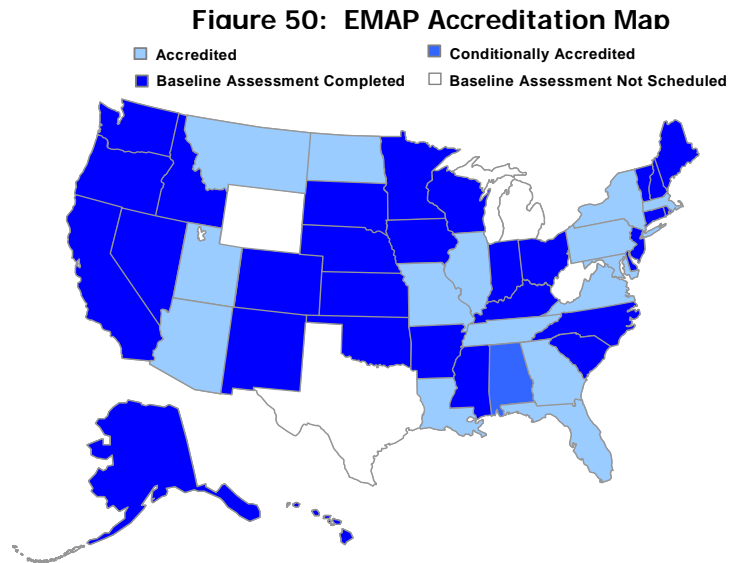
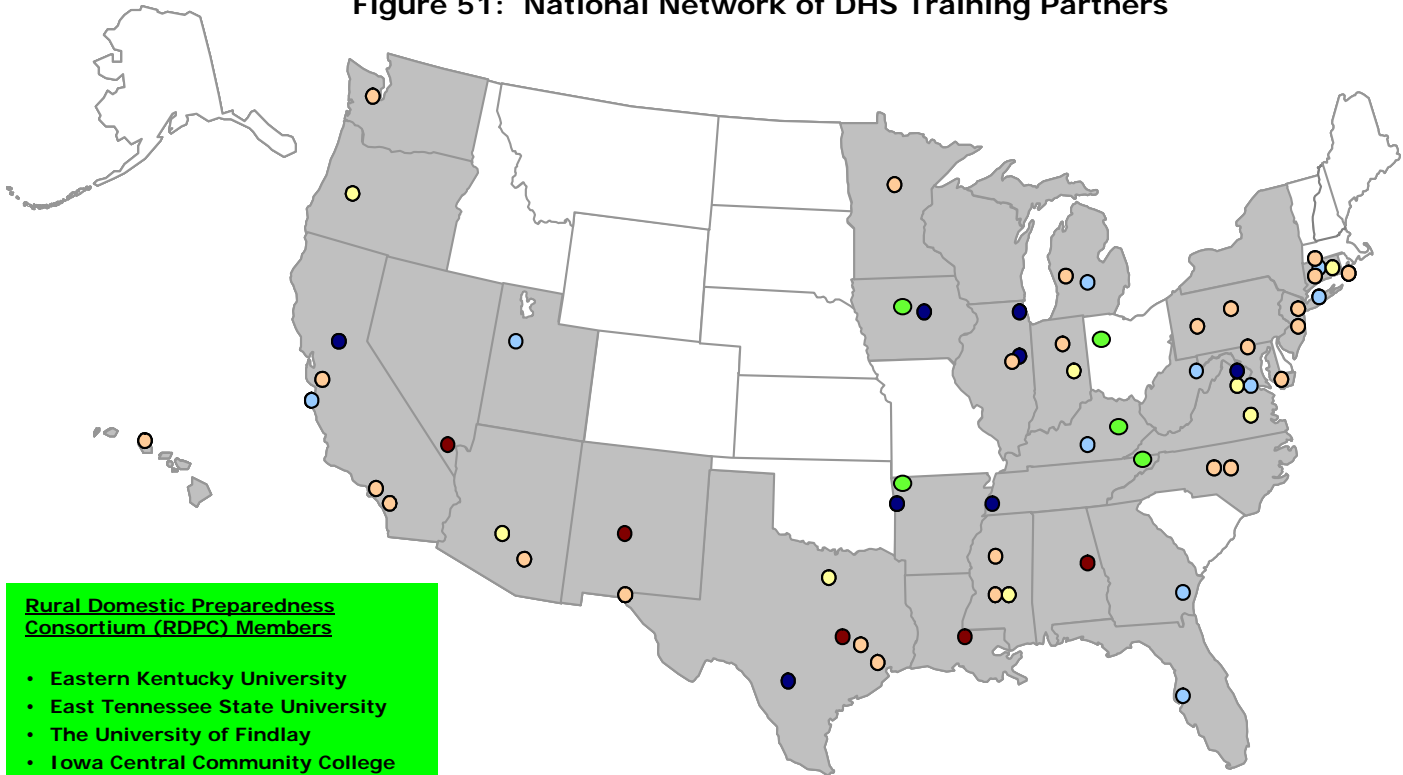


Figure 51: National Network of DHS Training Partners



**Rural Domestic Preparedness Consortium (RDPC) Members**

- Eastern Kentucky University
- East Tennessee State University
- The University of Findlay
- Iowa Central Community College
- Northwest Arkansas Community College

**Centers of Excellence**

- The Center for Border Security and Immigration
- The Center for Explosives Detection, Mitigation, and Response
- The Center for Maritime, Island, and Port Security
- The Center for Natural Disasters, Coastal Infrastructure, and Emergency Management
- The Center for Transportation Security
- The Center for Risk and Economic Analysis of Terrorism Events (CREATE)
- The National Center for Food Protection and Defense (NCFPD)
- The National Center for Foreign Animal and Zoonotic Disease Defense (FAZD)
- The National Consortium for the Study of Terrorism and Responses to Terrorism (START)
- The National Center for the Study of Preparedness and Catastrophic Event Response (PACER)
- The Center for Advancing Microbial Risk Assessment (CAMRA)
- The University Affiliate Centers to the Institute for Discrete Sciences (IDS-UACs)
- The Regional Visualization and Analytics Centers (RVACs)

**Partners Receiving Multiyear Funding**

- Criminal Justice Institute
- Michigan State Univ.
- Univ. of Texas—San Antonio
- Western Oregon Univ.
- Northwestern State Univ.
- Kirkwood Community College
- George Washington Univ.
- American College of Emergency Physicians

**FY07 Competitive Training Grant Program Partners**

- Ball State Univ.
- Arizona State Univ.
- National League of Cities Institute
- Univ. of Connecticut
- Western Oregon Univ.
- Telecommunications for the Deaf, Inc.
- Council of State Archivists
- American College of Emergency Physicians
- The CNA Corporation
- National Domestic Preparedness Coalition, Inc.
- Univ. of Southern Mississippi
- Univ. of the District of Columbia

**National Domestic Preparedness Consortium (NDPC) Members**

- Louisiana State Univ.
- Center for Domestic Preparedness
- Nevada Test Site
- New Mexico Tech
- Texas A&M

**Continuing & Emerging Partners**

- Dugway Proving Ground
- Emergency Management Institute
- National Fire Academy
- International Assoc. of Campus LE Administrators
- International Assoc. of Firefighters
- West Virginia Univ.
- National Sheriff's Assoc.
- National Terrorism Preparedness Institute
- Michigan State Univ.
- George Washington Univ.
- Naval Postgraduate School
- Federal Law Enforcement Training Center
- Long Island Univ.
- Center for Rural Development
- Institute for Preventive Strategies

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DHS efforts to standardize and improve training programs have coincided with a consistent and increasing approval rating from participants. Since FY 2005, recipients of Federal technical assistance services have consistently reported extremely high (greater than 90 percent) levels of satisfaction. Since FY 2005, participants in EMI training courses have consistently reported feeling better prepared to respond for disasters and emergencies as a result of their training. From 2006 to 2007, the knowledge, skills, and abilities of State and local personnel attending NPD training courses increased by 25 percent.<sup>22</sup>

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<sup>22</sup> Data based on the trainee pre- and post-training self-evaluations. Pre- and post-training evaluations are compared to determine the percent increase of subject matter knowledge, skills, and abilities due to the delivery of training.

## TRAINING

The Training section describes DHS’s efforts to improve the delivery and performance of training for emergency management and homeland security personnel. PKEMRA emphasizes training as an essential component of the national preparedness system. PKEMRA also requires FEMA to “carry out a national training program to implement the national preparedness goal, National Incident Management System, National Response Plan, and other related plans and strategies.” Furthermore, the Guidelines restated the importance of training, exercises, and lessons learned by identifying them as central components of the national preparedness system.



**This section on Training directly addresses two PKEMRA sections:**

- **§648(a): National Training Program**
- **§652(a)(2)(A): An assessment of how Federal assistance supports the national preparedness system**

**FEMA Emergency Management Institute Accomplishments:**

- Offered 701 classroom training courses at various training locations in 2007.
- 14,565 students attended EMI resident courses in 2007, for a total of 53,193 resident students trained from FY 2004-FY2007.
- Offers 63 different online Independent Study Program (ISP) courses, which support the nine mission areas identified by the National Preparedness Goal.
- 2,774,091 EMI ISP courses were completed in 2007, for a total of 7,769,486 completions since FY 2004

Over the past five years, DHS has built training capacity while additionally providing direct training opportunities. Specifically, DHS has:

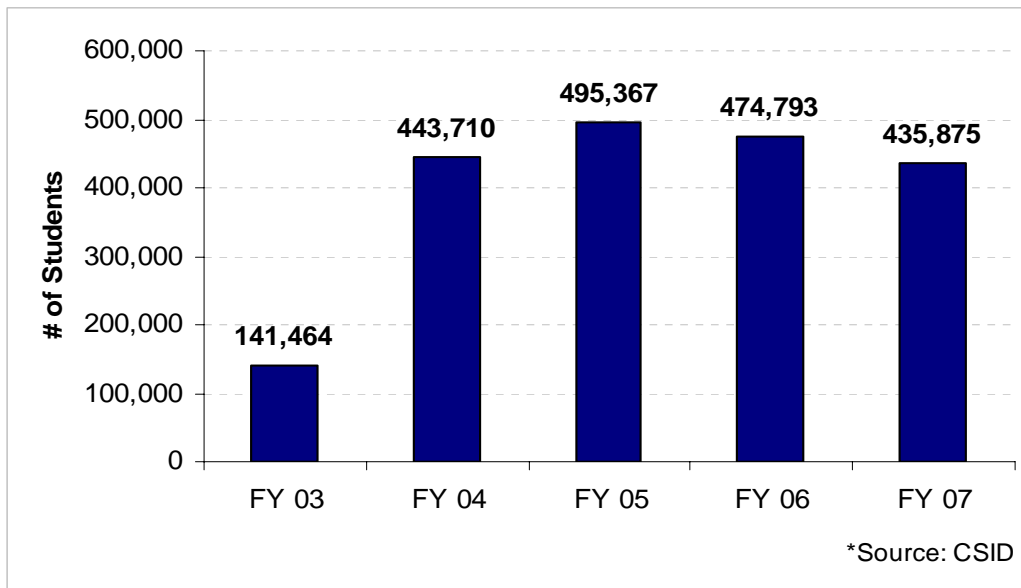
- Provided financial assistance to training entities and all-hazards training programs;
- Reoriented its training programs to align with the capabilities-based approach and related national priorities by mapping all TEI training courses to mission areas (see Figure 53) and target capabilities;
- Developed the HSNTTP, consisting of more than 70 training partners to include civic organizations, academic institutions, corporations, and others;



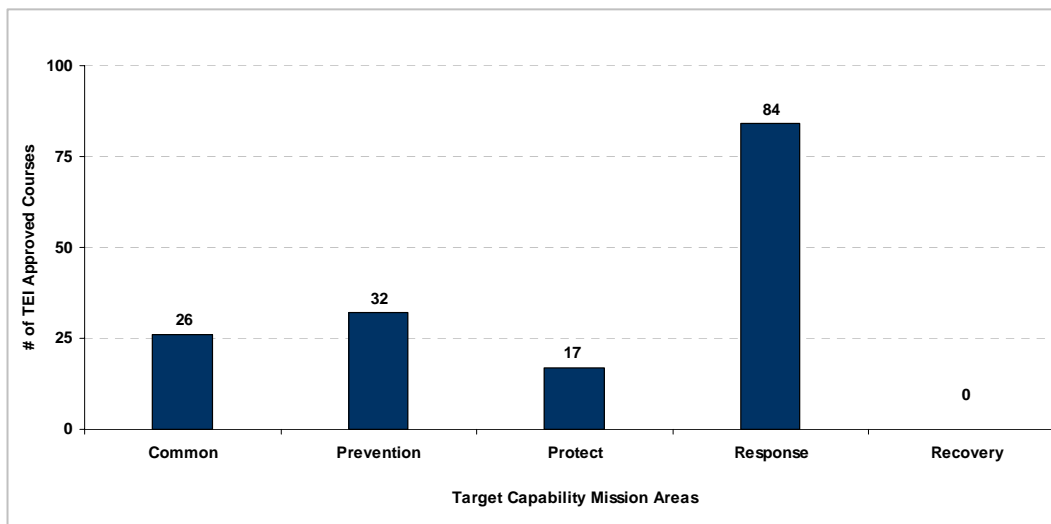
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- Drawn upon a coalition of training partners in the development and delivery of homeland security-related training programs, including the HSNTF;
- Committed to fostering comprehensive training for those incorporating both policies and methods in the field; and
- Trained more than 400,000 students each year from FY 2003 to FY 2007, and more than 550,000 first responders from FY 2005 to FY 2007.<sup>23</sup>

**Figure 52: Number of Students in DHS-Sponsored Courses**



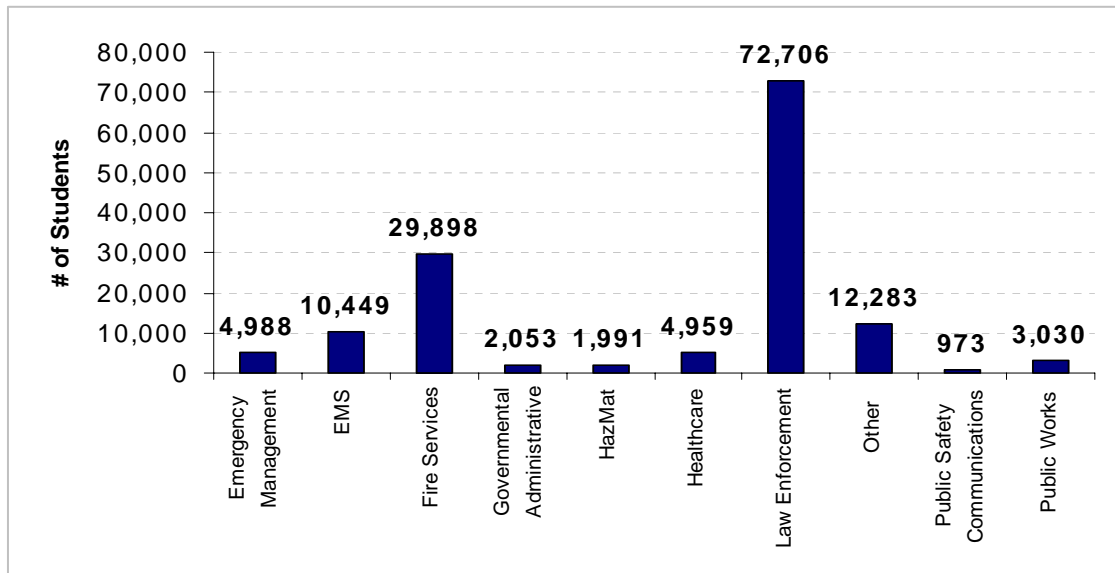
**Figure 53: Approved TEI Training Courses Mapped to Mission Areas**



<sup>23</sup> Data from CSID does not include EMI Distance Learning Program (Independent Study) participants.

**National Training Program.** The mission of the HSNTF is to oversee and coordinate all homeland security training programs, increase training capacity, and ensure standardization across all programs. The HSNTF provides funding through cooperative and interagency agreements to the National Domestic Preparedness Consortium (NDPC), Rural Domestic Preparedness Consortium (RDPC), and Continuing and Emerging Training providers for the development and delivery of all-hazards training for Federal, State, tribal, territorial, and local emergency responders. Training is designed for and delivered to appropriate State and local personnel in emergency management, public health, clinical care, public works, public safety, the private sector, nonprofits, faith-based organizations, and community organizations.

**Figure 54: Number of Students by Job Duty in DHS-Sponsored Courses**



Since FY 2005, more than \$521.5 million has been allocated for the concept and design of HSNTF. During FY 2007 over \$182 million in cooperative and interagency agreements was awarded through the HSNTF to applicants to design, develop, and deliver training content and support for Federal, State, local, and tribal jurisdictions.

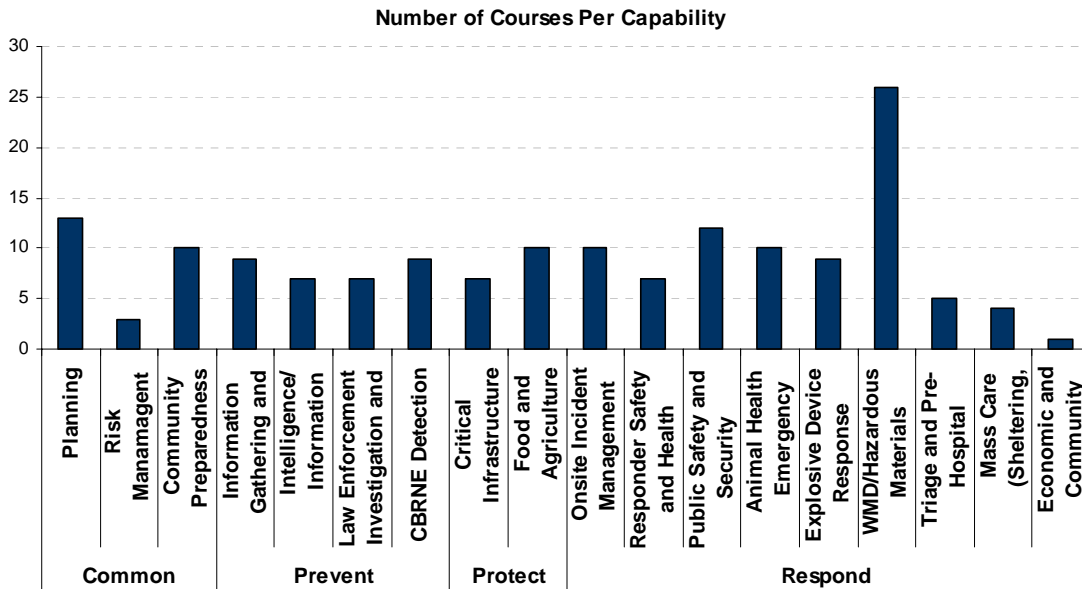
**Performance of Training.** DHS training is geared toward educating and improving the knowledge, skills, and abilities (KSAs) of responder operators and their trainers, but also addresses training needs for emergency managers. For example, during FY 2007, the National Fire Academy (NFA) found that 98 percent of its students surveyed indicated that their job performance was improved as a result of their NFA training. Since FY 2003, the Center for Homeland Defense and Security conducted 107 training seminars specifically designed to train senior decision makers at the State and local levels (e.g., Governor’s Office and Mayor’s Office).

**National Fire Academy (NFA) Training Program, FY2007 Results**

- More than 80 percent of resident students surveyed gave a rating of 4.36 (out of 5) for overall satisfaction with their NFA training experience
- 76 percent of supervisors surveyed believed their subordinate’s/student’s job performance was improved as a result of NFA training
- 78 percent of supervisors surveyed thought the NFA training would improve their department’s performance in the future
- 98 percent of students surveyed indicated that their job performance was improved as a result of NFA training

Over 14,000 people participated in “Train the Trainer” courses in FY 2005. Train-the-Trainer students are, upon completion, able to return to their home jurisdictions and teach others the course material, which expands the number of individuals that federally developed and funded training can reach. Because courses taught by these Train-the-Trainer graduates are paid for by their State/jurisdiction or agency, Train-the-Trainer courses also represent a cost-effective solution for the Federal Government.

**Figure 55: Approved TEI Training Courses Mapped to Target Capabilities by Mission Areas**

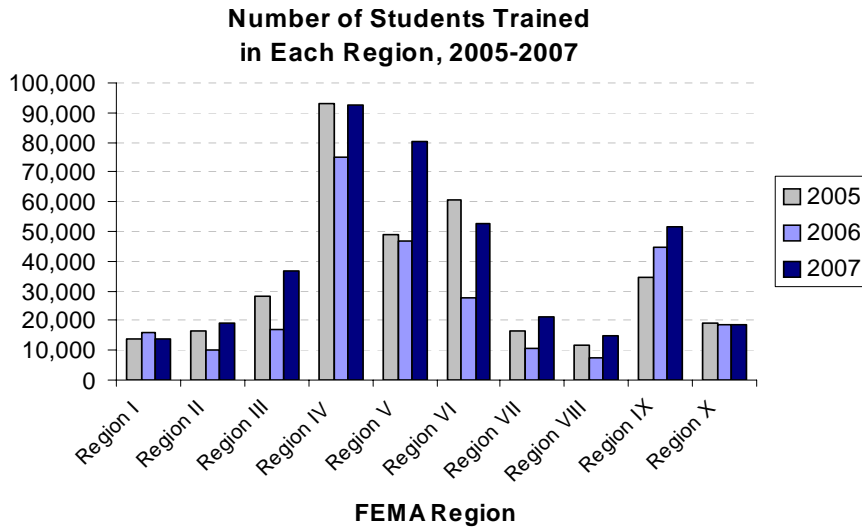


In FY 2007, 159 TEI courses were mapped to mission areas and target capabilities based on the subject matter and course content (see Figure 55).

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Over 50 percent provided training on subjects associated with the Response mission area. The majority of courses support Weapons of Mass Destruction (WMD)/Hazardous Materials (HazMat), Planning, and Public Safety and Security target capabilities. Sixteen percent of all courses are in the WMD/HazMat response capability category.

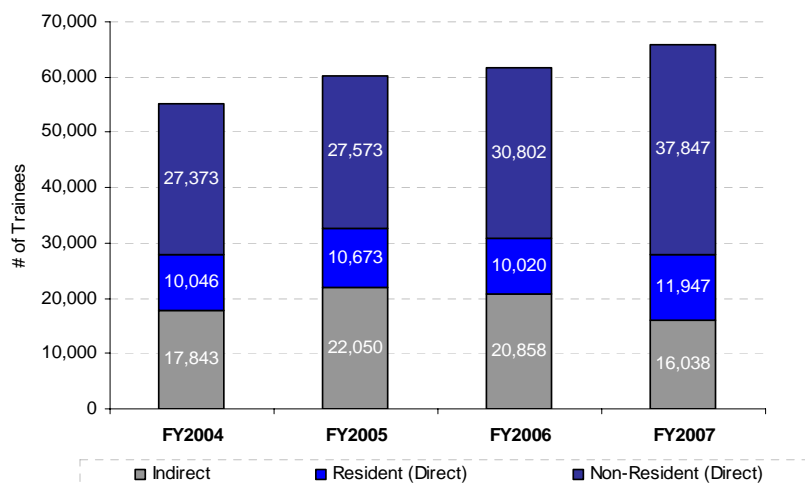
**Figure 56: Students Trained per FEMA Region**



Between FY 2006 and FY 2007, the number of students trained increased in nine of the ten FEMA Regions (see Figure 56). FEMA Region IV consistently trains the most students, due in part to the fact that several major training facilities are located in the Region.

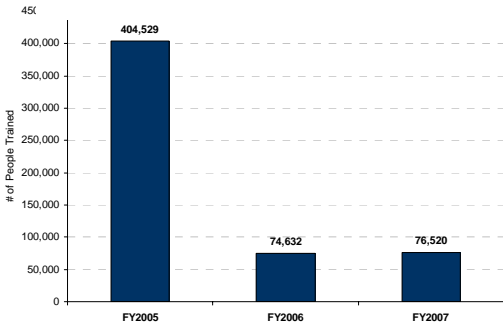
The CDP is DHS's only federally chartered<sup>24</sup> WMD training center. From FY 2004 to FY 2007, CDP trained more than 243,000 first responders in CBRNE-related courses, gradually increasing its annual student base within that time.

**Figure 57: Center for Domestic Preparedness (CDP) Trainees by**

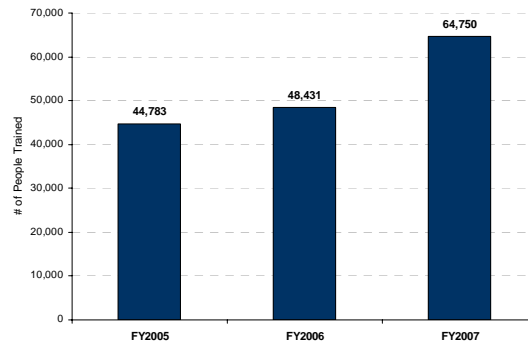


<sup>24</sup> A congressional or federal charter is a federal statute that establishes a corporation

**Figure 58: Number of People Trained to Awareness Level**



**Figure 59: Number of People Trained to Performance Level**



The Centralized Scheduling Information Desk (CSID) maintains a database on numbers of responders trained by performance level.<sup>25</sup> The source of the data is GPD training courses administered to State and local constituents. The GPD training providers maintain student rosters for each delivery of all courses, which can be divided into four performance levels—awareness, performance defensive, performance offensive, and planning-management.

The Competitive Training Grants Program (CTGP) awards funds to competitively selected applicants to develop and deliver innovative training programs addressing high-priority national homeland security training needs. Between FY 2004 and FY 2007, there were 44 training providers in the CTGP. In FY 2007 \$29.1 million was awarded to State, tribal, territorial, and local governments, national associations, higher education institutions, nonprofit organizations, and the private sector.

**Awareness:** Awareness-level courses are designed for responders who require the skills necessary to recognize and report a potential catastrophic incident or who are likely to witness or investigate an event involving the use of hazardous and/or explosive devices.  
Source: FYHSP (January 2008)

**Performance:** Designed for first responders who perform tasks during the initial response to a catastrophic event, such as safeguarding the at-risk public, rescuing victims, and decontaminating victims.

**Management:** Designed, as the title suggests, for managers who build plans and coordinate the response to a mass consequence manmade or natural event.

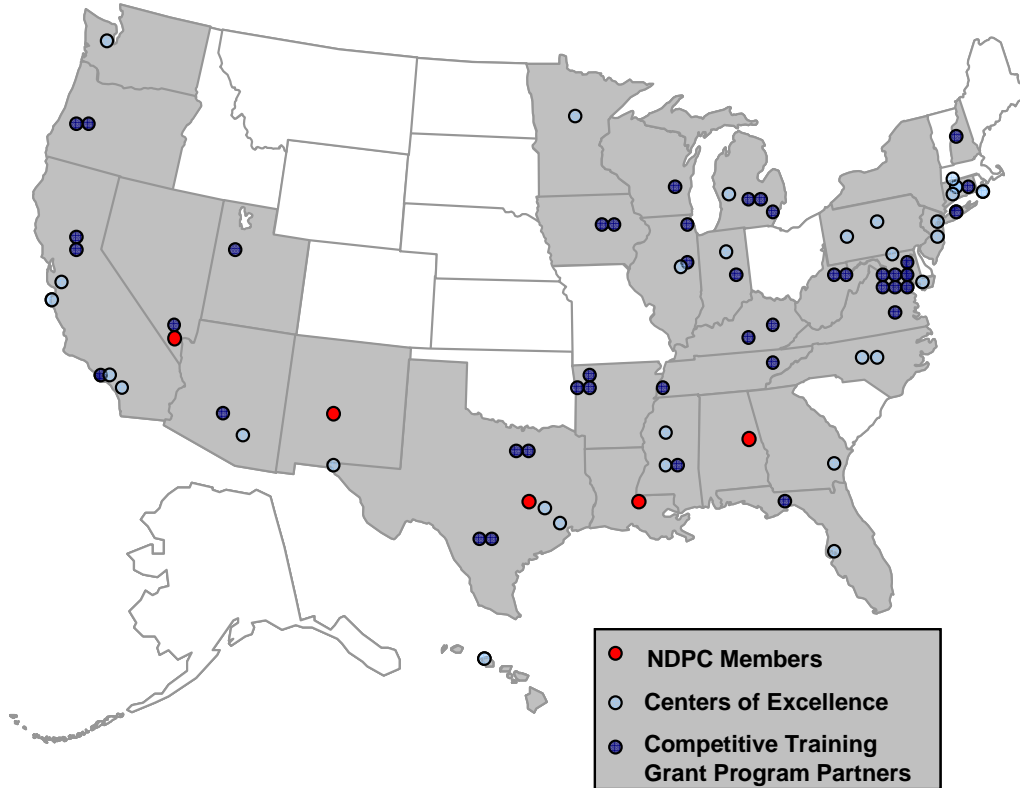
Thirteen Homeland Security Centers of Excellence (COEs) were authorized by Congress and chosen by the Department's Science and Technology Directorate. The COEs bring together leading experts and researchers to conduct multidisciplinary research and education for homeland security solutions. Each center is led by a university in collaboration with partners

<sup>25</sup> CSID data does not include EMI or NFA training numbers

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from other institutions, agencies, laboratories, think tanks, and the private sector.

**Figure 60: DHS Training Partners: NDPC Members, Centers of Excellence, and Competitive Training Grant Program Partners**



National Domestic Preparedness Consortium Members:

- Louisiana State University
- Center for Domestic Preparedness
- Nevada Test Site
- New Mexico Tech

## ORGANIZE, EQUIP, AND TRAIN

- Texas A&M

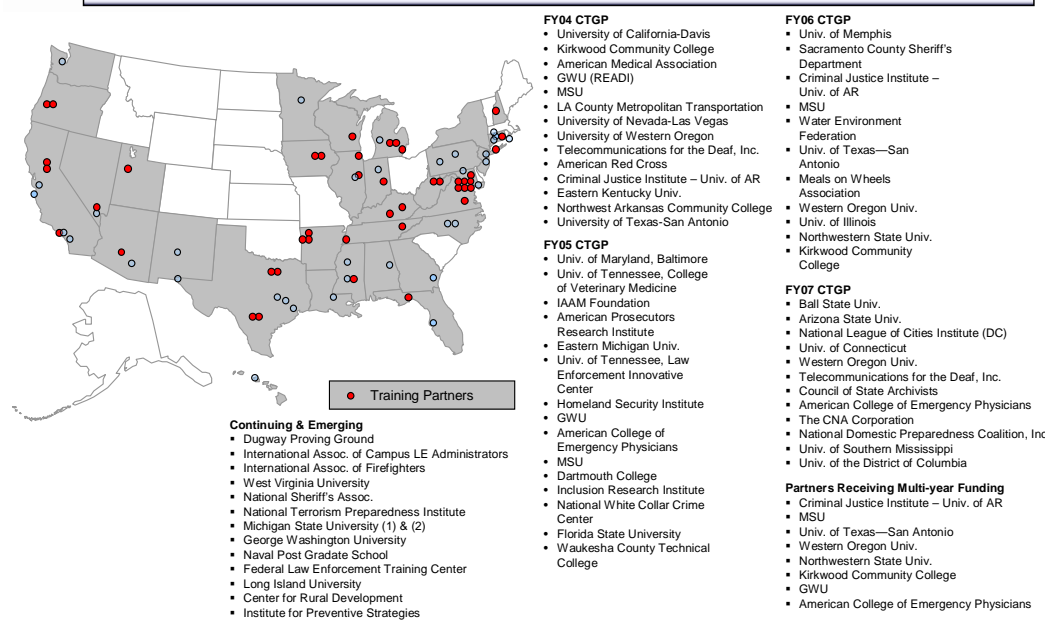
### Centers of Excellence

- The Center for Border Security and Immigration, led by the University of Arizona in Tucson and the University of Texas at El Paso
- The Center for Explosives Detection, Mitigation, and Response, led by Northeastern University in Boston, MA, and the University of Rhode Island in Kingston
- The Center for Maritime, Island, and Port Security, led by the University of Hawaii in Honolulu and Stevens Institute of Technology in Hoboken, NJ
- The Center for Natural Disasters, Coastal Infrastructure, and Emergency Management, led by the University of North Carolina at Chapel Hill and Jackson State University in Jackson, MS
- The Center for Transportation Security, led by Texas Southern University in Houston, Tougaloo College in Tougaloo, MS, and the University of Connecticut in Storrs
- The Center for Risk and Economic Analysis of Terrorism Events (CREATE), led by the University of Southern California
- The National Center for Food Protection and Defense (NCFPD), led by the University of Minnesota
- The National Center for Foreign Animal and Zoonotic Disease Defense (FAZD), led by Texas A&M University
- The National Consortium for the Study of Terrorism and Responses to Terrorism (START), led by the University of Maryland
- The National Center for the Study of Preparedness and Catastrophic Event Response (PACER), led by Johns Hopkins University
- The Center for Advancing Microbial Risk Assessment (CAMRA), led by Michigan State University
- The University Affiliate Centers to the Institute for Discrete Sciences (IDS-UACs), led by Rutgers University, the University of Southern California, the University of Illinois at Urbana-Champaign, and the University of Pittsburgh
- The Regional Visualization and Analytics Centers (RVACs) at Penn State University, Purdue University, Stanford University, the University of North Carolina at Charlotte, and the University of Washington

Figure 61: Competitive Training Grant Program



Training: Competitive Training Grant Program



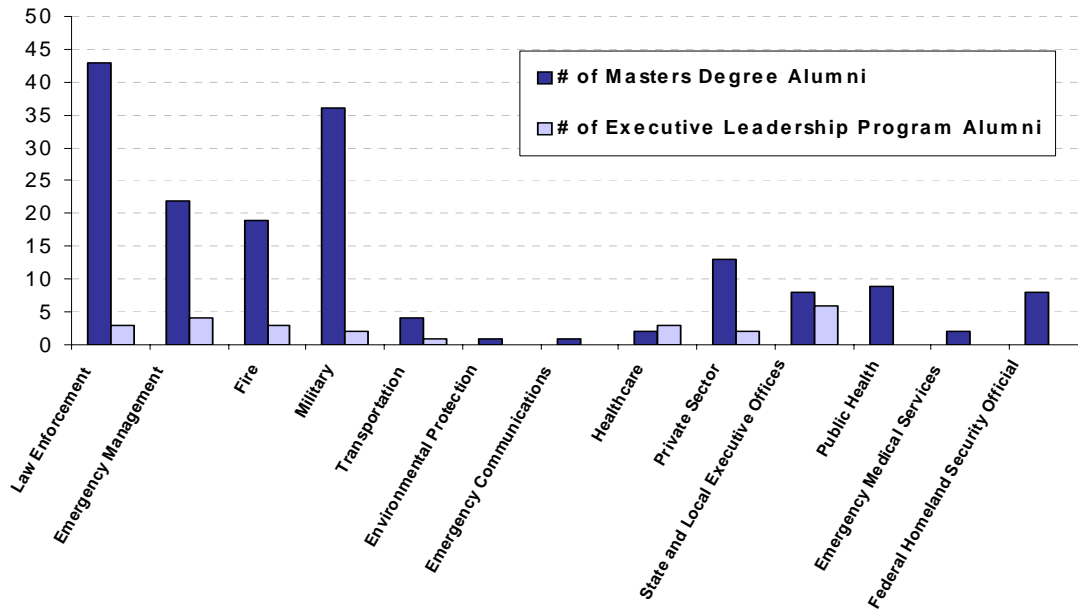
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Naval Postgraduate School Mobile Education Teams (METs) seminar is an intensive half-day seminar on homeland security designed to help strengthen U.S. capability to prevent, deter, and respond to domestic terrorist attacks, and to build the intergovernmental, interagency, and civil-military cooperation that homeland security requires. The MET conducts the seminar in the field with participation typically including senior-level decision makers (e.g., Governors and their Cabinets). Overall, the Naval Postgraduate School provided nearly 100 homeland security training opportunities to senior decision makers at the State and local levels over the CY 2003–CY 2007 period. As of March 2008, over 75 MET seminars had been held across the country, each providing training opportunities to senior decision makers. Topics are discussed in an interactive roundtable format and have included:

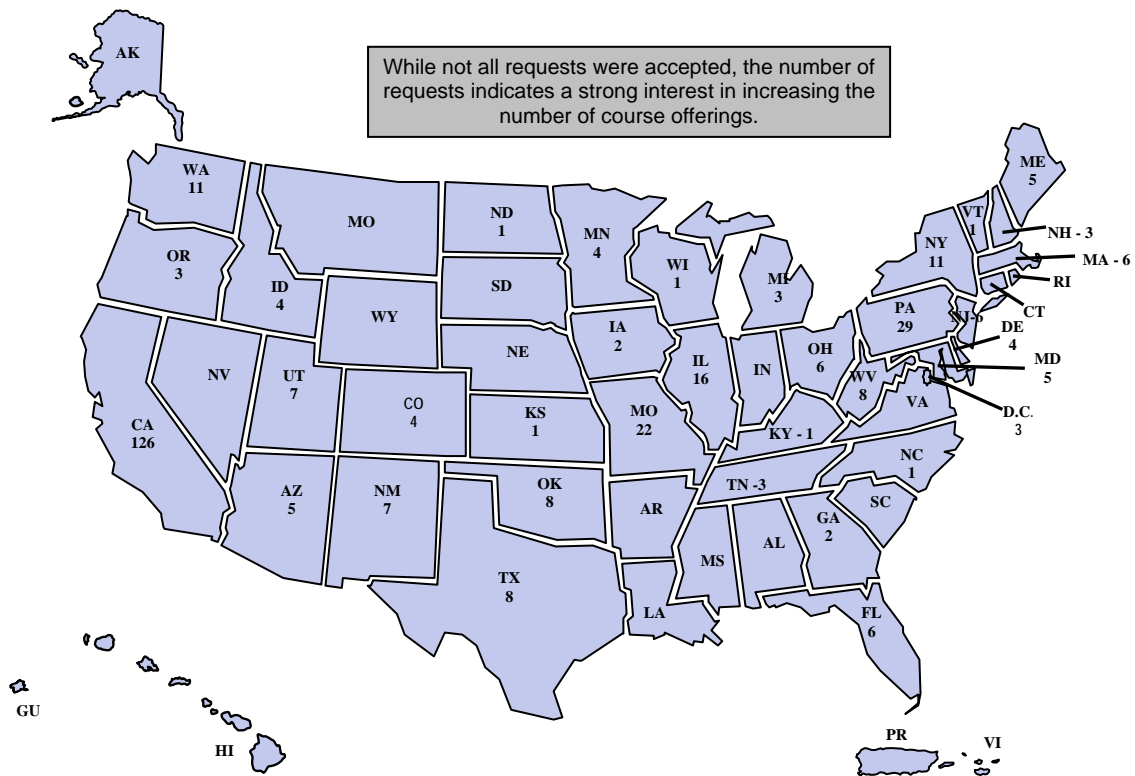
- Federal/State/Local Responsibilities and Coordination
- Prevention
- Intelligence Collection, Assessment, and Dissemination and Information Sharing
- Critical Infrastructure Protection
- Public Communications and Fear Management
- Response Operations



**Figure 62: Naval Postgraduate School (NPS) Degree Programs  
NPS Alumni According to Job Discipline**



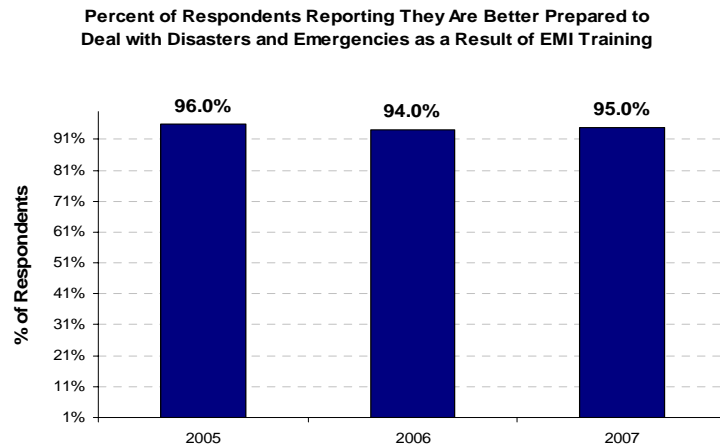
**Figure 63: Requests for Inclusion in the TEI/TO State-Sponsored Course Catalog  
FY 2005-2008 via Web-Forms**



## ORGANIZE, EQUIP, AND TRAIN

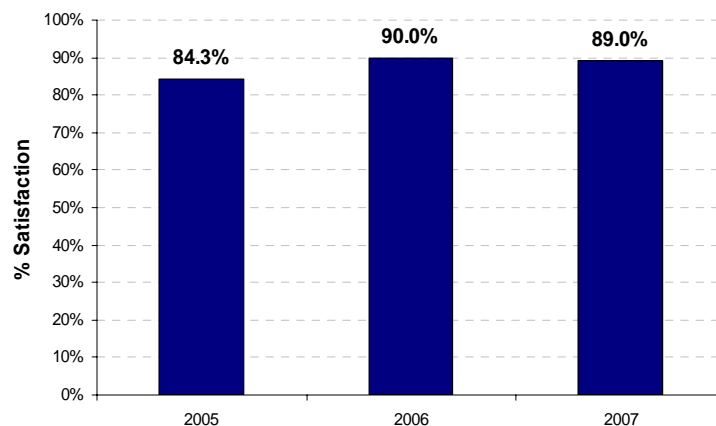
DHS offers HSEEP Mobile Training courses, intermediate-level train-the-trainer courses designed to teach the standardized HSEEP exercise methodology to exercise practitioners across the country. The course curriculum is based on latest HSEEP guidance and includes introductions to the HSEEP Toolkit systems and capabilities-based planning, instructor-led presentations, small group activities, videos, and group discussions. The four-day course includes a Train-the-Trainer session that prepares participants to give HSEEP training to home jurisdictions. To date, 56 courses have been provided, training over 2,200 students.

**Figure 64: Emergency Management Institute (EMI) Training Course Survey**



Overall, the DHS training efforts have been very successful. Since FY 2005, recipients of Federal technical assistance services have consistently reported extremely high (greater than 90 percent) levels of satisfaction. For example, since FY 2005, participants in EMI training courses have consistently reported being better prepared to respond to disasters and emergencies as a result of their training (see Figure 65). From 2006 to 2007, the knowledge, skills, and abilities of State and local personnel attending NPD training courses increased by 25 percent.<sup>26</sup>

**Figure 65: Emergency Management Institute (EMI) Training Course Satisfaction Ratings Services Provided to State and Local Jurisdictions**



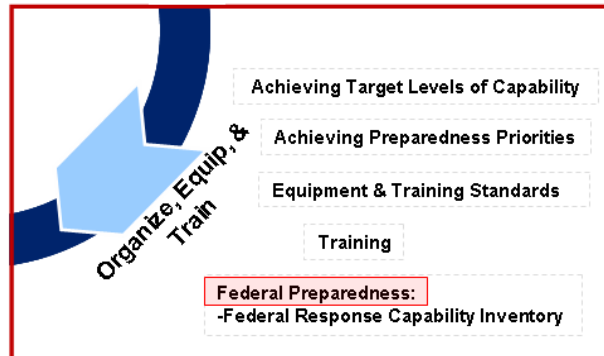
<sup>26</sup> Data based on the trainee pre- and post-training self-evaluations. Pre- and post-training evaluations are compared to determine the percent increase of subject matter knowledge, skills, and abilities due to the delivery of training.

## FEDERAL PREPAREDNESS

The Federal Preparedness section describes Federal programs and capacities that directly support national preparedness. Federal preparedness includes a unified response system and framework for operational planning and the development of generic language within Pre-scripted Mission Assignments (PSMAs) to shorten delays in response time. Federal preparedness additionally includes credentialed and trained personnel, ready for a range of homeland security missions.

To achieve Federal preparedness, DHS and its homeland security partners have:

- Implemented NIMS and NRF and Hurricane Katrina Lessons Learned recommendations;
- Increased the number of permanent full-time personnel;
- Developed the NRF and operational plans;
- Established appropriate operational capabilities;
- Developed PSMAs; and
- Established a Federal response capability inventory. The Federal Preparedness element of establishing inventories is discussed at length in a separate section, Federal Response Capability Inventory.



**This section on Federal Preparedness directly addresses one PKEMRA section:**

- **§653: Federal preparedness**  
 This section describes the Federal preparedness programs and systems established in the NRF that support national preparedness, including:
  - NIMS compliance
  - Hurricane Katrina Lessons Learned recommendations
  - Operational plans
  - Personnel
  - Pre-scripted mission assignments
  - Operational capabilities
  - Established inventories

**Federal Plans and Systems.** In support of the national preparedness system, each Federal agency with responsibilities under the NRF must:

- Have appropriate operational capability to meet the National Preparedness Guidelines;
- Comply with NIMS;
- Develop, train, and exercise personnel;

## ORGANIZE, EQUIP, AND TRAIN

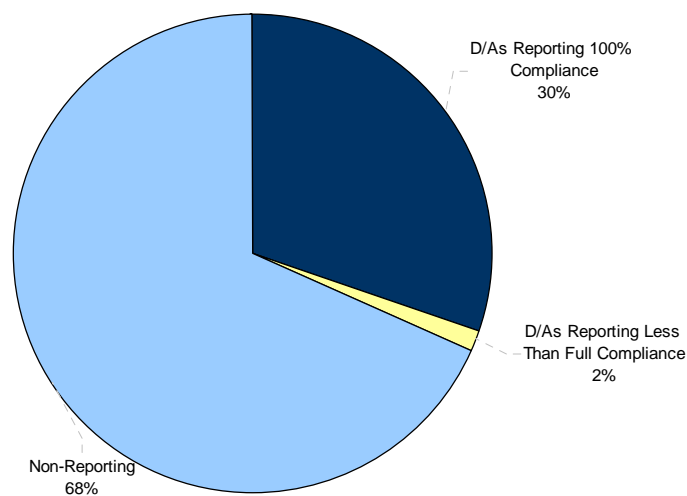
- Develop operational plans; and
- Update response capability inventories.

The adoption of the NRF and NIMS establishes a unified response system with common terminology, approach, and framework that clarifies responsibilities and enables improved operational planning among all Federal, State, tribal, territorial, and local agencies.

The NRF—the successor to the NRP—was completed in 2007 and is currently in effect. The NRF is a framework and not a plan in order to give it flexibility, scalability, and adaptability. Developed in close coordination with the Federal Interagency and State, tribal, territorial, and local officials, the NRF provides structures for implementing national-level policy and operational coordination for domestic incident response. The Framework includes 15 ESF Annexes that provide the structure for coordinating Federal Interagency support for a Federal response to an incident, eight Support Annexes describing how Federal, State, tribal, territorial, and local entities; the private sector; volunteer organizations; and nongovernmental organizations coordinate and conduct effective incident management, and six Incident Annexes. Federal departments and agencies base their own agency-specific operational plans on the NRF and its Support Annexes.

NIMS compliance data indicates the progress at the Federal level in implementing NIMS requirements (see Figure 67). Less than one-third of Federal departments and agencies have reported on their NIMS compliance levels to date. Those departments/agencies that did provide data on NIMS compliance reported a compliance level of nearly 100 percent.

**Figure 66: NIMS Compliance by Federal Departments/Agencies (D/As)**



DHS is currently working actively with its Federal Interagency partners to stand up an IPS that will coordinate and harmonize planning efforts across

## ORGANIZE, EQUIP, AND TRAIN

the Federal Government as well as among Federal, State, local, tribal, and territorial partners. The implementation of IPS is a specific requirement of HSPD-8, Annex 1. The IPS will include:

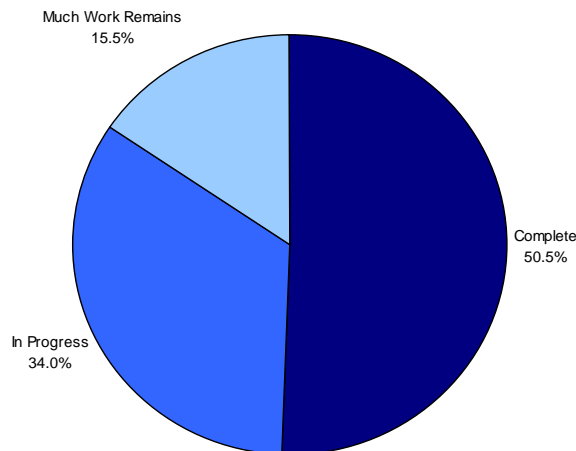
- A process for vertical and horizontal integration of Federal, State, and local plans;
- A national planning doctrine and planning guidance to ensure consistent all-hazards planning at all levels of government; and
- A process for plan refinement to reflect developments in risk, capabilities, or policies, and incorporate lessons learned from exercises and events.

FEMA and DHS's Office of Operations Coordination and Planning established operational planning elements in 2007, including an interim version of the IPS that is presently being used by other Federal departments and agencies.<sup>27</sup> This unit provides enhanced capabilities to perform sophisticated operational and trend analyses, as well as to improve planning for the response to ongoing and future disaster events. Additionally, it provides greater depth and capability to prepare operational plans and conduct crisis action planning.

### Hurricane Katrina Lessons Learned Recommendations.

Progress towards implementing Hurricane Katrina Lessons Learned recommendations indicates DHS's progress in addressing Federal Preparedness following Hurricane Katrina. Figure 68, below, demonstrates DHS's excellent progress in implementing these recommendations. As of February 2007, DHS had a 94 percent achievement rate in addressing Hurricane Katrina Lessons Learned recommendations and a 50 percent achievement rate in implementing recommendations.

**Figure 67: DHS Status in Completing Hurricane Katrina Lessons Learned Recommendations, as of CY 2007**



<sup>27</sup> FEMA Statement Before the Subcommittee on State, Local and Private Sector Preparedness and Integration, U.S. Senate September 24, 2008

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Overall, across the Federal Government, Hurricane Katrina Lessons Learned recommendations that are mostly met include the following areas:

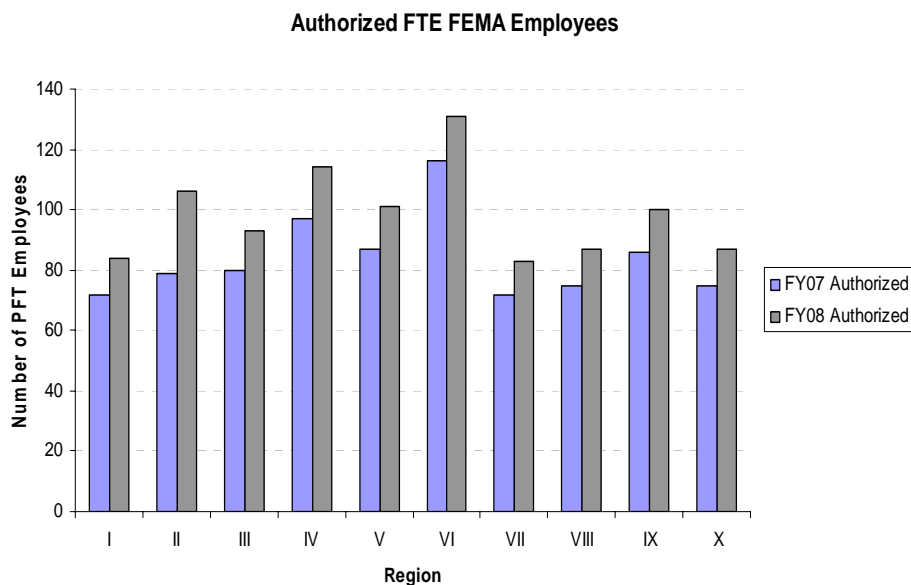
- Citizen and Community Preparedness
- Planning
- Training, Exercises, and Lessons Learned
- Foreign Assistance
- Evacuations

The areas of recommendation that are mostly unmet include:

- Safety
- Public Safety and Security
- Communications
- Critical Infrastructure
- Victim Assistance

**Personnel.** Having trained and credentialed personnel working to prevent, protect, and mitigate hazards to the Nation, and prepared to respond to and recover from any incident, is crucial to National Preparedness. Understanding this, FEMA has increased its total number of authorized regional personnel from 839 in FY 2007 to 1,126 in FY 2009 (see Figure 69). The total number of authorized permanent full-time equivalent (FTE) regional personnel has increased by 34 percent between FY 2007 and FY 2009. FEMA has increased its number of total FTEs from 5,078 in FY 2006 to 6,410 in FY 2007, and is seeking to reach 6,651 in FY 2008.

**Figure 68: Number of Authorized Full-Time Regional Personnel**



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In addition to its FTEs, FEMA maintains a Disaster Reserve Workforce which is ready to assist Regions in responding to and recovering from disasters. This cadre of reserve employees is the foundation of FEMA's disaster field operations capability. In accordance with the vision for a "new" FEMA, in 2008 FEMA established the Disaster Reserve Workforce Division to:

- Develop, deploy, and support a professional disaster reserve workforce ready for the national, all-hazard response needs of FEMA program managers and regional leadership; and
- Assist in the credentialing and deployment of responders from FEMA's full-time workforce and Surge Capacity Force.

FEMA's Disaster Reserve Workforce Division is in the process of developing and field testing NIMS/ICS-compliant task books that clarify specific job duties and responsibilities to assist reserve employees in effectively meeting mission requirements.

**Pre-Scripted Mission Assignments.** In response to the Hurricane Katrina Lessons Learned recommendations, FEMA has coordinated with appropriate Interagency partners to develop necessary PSMAs to deliver a more efficient and quick response. The establishment of PSMAs increases the efficacy of Federal response and assistance by establishing clear and predetermined actions that can be enacted in response to specific events or scenarios. PSMAs include logistics, communications, mass care, health services, and public safety. In 2006, FEMA had a total of 44 PSMAs with 2 Federal agencies in place for support for Hurricane Season (16 PSMAs with the Department of Defense (DoD) and 28 PSMAs with the U.S. Army Corps of Engineers). However, in preparation for the 2007 Hurricane Season, FEMA had expanded the number of PSMAs to a total of 183 with 28 Federal agencies. Currently, FEMA has increased the number of PSMAs to 223 in coordination with 31 Federal agencies.

**Operational Capabilities.** FEMA Disaster Operations met its target of 88 percent of response teams reporting at operational status in FY 2007. FEMA provides a daily National Situation Report giving stakeholders an assessment of the current state of response, recovery, and steady-state postures for FEMA and the Federal Government throughout the Nation.

FEMA established the Logistics Management Directorate (LMD) in April 2007. LMD is responsible for policy, guidance, standards, execution, and governance of logistics support, services, and operations and acts as the National Logistics Coordinator in support of special events and emergencies. Furthermore, FEMA implemented the Total Asset Visibility Program to enhance visibility, awareness, and accountability over response resources. Additionally, FEMA established E-Tasker for regions' single-point ordering and tracking.

## FEDERAL RESPONSE CAPABILITY INVENTORY

The Federal Response Capability Inventory section describes a review of personnel, resources, and capabilities for both DHS and DoD.

Classifying and tracking multiple types of resources is essential to ensure that multiple agencies can effectively communicate and provide resources during a crisis, including implementing a plan to inventory, mobilize, and track resources prior to, during, and after an incident. To this end, DHS has developed a Catastrophic Incident Supplement (CIS) to the NRF, with the goal of developing an inventory of Federal response teams and capabilities. The CIS Inventory of Federal Response Teams contains a list of over 80 Federal response teams representing 27 Federal agencies.

A key element of the CIS is an execution schedule that lists resource mobilization actions (including expected deployment times) for key Federal resources.

Figure 70 (see next page), provides a snapshot of the CIS's format for tracking of Federal assets.

This section on Federal Response Capability Inventory directly addresses four PKEMRA subsections:

- **§651(a): Inventory of Federal Response Capabilities**
- **§651(b): Performance, Timeframe, Readiness; Emergency Communications Assets**
- **§651(c): Department of Defense**
- **§651(d): Database**

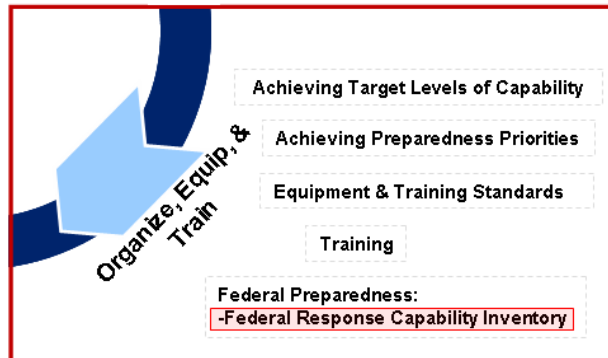




Figure 69: Catastrophic Incident Supplement Sample

Agency	Team Name	Team Mission Description	Applicable Incident Type					
			NH	C	B	R	N	E
DHS FEMA	Urban Search and Rescue Task Forces	70-person multi-disciplinary task force for the extrication, rescue, and medical stabilization of victims trapped under collapsed structures.	X	X		X	X	X

FEMA contains 18 response teams available, each with its own individual capabilities and applicable incident types

Mission description of Federal assets

Applicability of the capability for response to natural hazards and CBRNE events

Overall, the CIS:

- Provides the operational framework for implementing the strategy contained in the NRF’s Catastrophic Incident Annex;
- Indicates over 80 Federal response teams’ missions, points of contact, and applicability for six types of major incidents; and
- Includes a planned execution schedule for the deployment and use of Federal resources during a response to a major incident.
  - The execution schedule is supported by a Transportation Support Schedule.
  - Through the CIS, the National Response Coordination Center (NRCC) provides means for visibility into Federal assets.

**NIMS Resource Typing.** Classifying types of resources is essential to ensure that multiple agencies can effectively communicate and provide resources during a crisis, including implementing a plan to inventory, mobilize, and track resources prior to, during, and after an incident. Resource typing definitions provide emergency managers with the information they need to request and receive needed resources during an emergency or disaster. The NRF core document highlights the need to type resources in order to ensure that emergency response personnel have the necessary resources to perform assigned response missions and tasks. In addition, resource typing is a key component of the NIMS.

To this end, DHS has developed resource typing definitions for 120 response resources. Resources are classified by:

- **Category.** The function for which the resource is most useful (firefighting, law enforcement, health and medical, etc.);

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- **Kind.** A broad class of characterization, such as teams, personnel, equipment, and supplies; and
- **Type.** A measure of minimum capabilities to perform the function.

This effort will help all Federal, State, tribal, territorial, and local jurisdictions locate, request, and track resources to assist neighboring jurisdictions when their local capability is overwhelmed. To ensure consistent resource definitions nationwide, NPD is developing national mutual aid resource guidelines based on NIMS to support State and local mutual aid agreements, namely EMAC. This will ensure that resources can be effectively ordered from any mutual aid partner or the Federal Government and will arrive fully able to meet the requested function.

**List of Personnel.** Virtually every Federal department and agency possesses personnel and resources that may be needed in response to an incident. In January 2008, DHS released a revised NRF core document that highlighted credentialing standards for management personnel, emergency response providers, and other personnel.

The PKEMRA requires FEMA to review the credentialing and typing of key personnel. To this end, FEMA is currently developing criteria for the credentialing and typing of personnel. These standards were released to stakeholders for public comment in April 2008. Following a 3-month comment and adjudication period, FEMA's Incident Management Systems Integration Division will deliver the finalized standards for implementation to the required stakeholders by August 3, 2008. Federal departments and agencies will be required to implement these standards by February 3, 2009.

**Emergency Communications Assets.** The 2008 NRF emphasized the importance of identification and management of communications resources to implement scalable, flexible, and adaptable response capabilities. In order to support this priority, DHS:

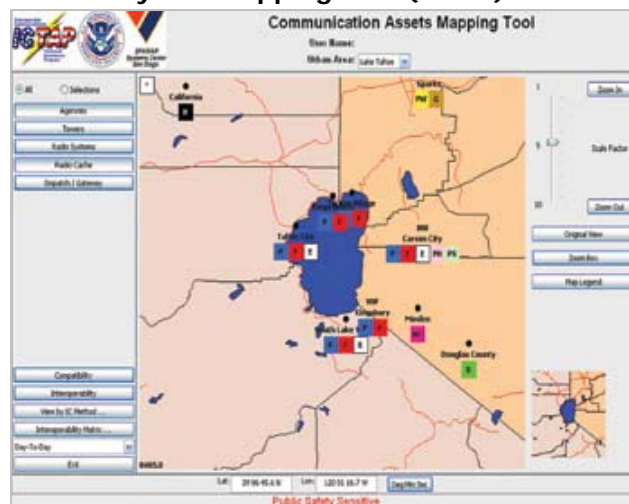
- Has provided an inventory of Federal response Emergency Communications and Outreach Teams as required by the CIS to the NRF.
- Has developed national communications asset tracking systems, including Federal, State, tribal, territorial, and local databases.
- Is developing the National Communications Capabilities Report.

The CIS, cited above, establishes a coordinated strategy for accelerating the delivery and application of Federal and federally accessible resources and capabilities in support of a jurisdictional response to a no-notice or short-notice catastrophic mass victim/mass evacuation incident. In addition, the CIS provides an inventory of Federal response teams. The Emergency Communications and Outreach Team is comprised of 30 communication experts qualified to serve as Public Information Officers.

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Comprehensive inventories of Federal, State, tribal, or local public safety communication systems and equipment do not currently exist, but efforts are underway to collect this information. Specifically, DHS has supported several initiatives to enhance knowledge on Federal inventory, particularly with communications systems. The DHS Office of Emergency Communications' (OEC) Interoperable Communications Technical Assistance Program developed the Communications Asset Survey and Mapping Tool (CASM). The CASM consists of an online database and visual geo-spatial display that provides information on communications equipment. It identifies both existing interoperable pathways and where the gaps fall among local, State, and Federal first responders. As of January 2008, approximately 34 States and 14 urban areas have input substantive communications-asset data into CASM.

**Figure 70: Communications Asset Survey and Mapping Tool (CASM)**



In addition, DHS National Communications System ESF #2 developed the Communications Asset Database (CAD). The database provides a non-public listing of Federal communications assets that can be used to support public safety and private entities. Federal assistance and programs including CASM and CAD provide valuable information sharing of national emergency communication capabilities.

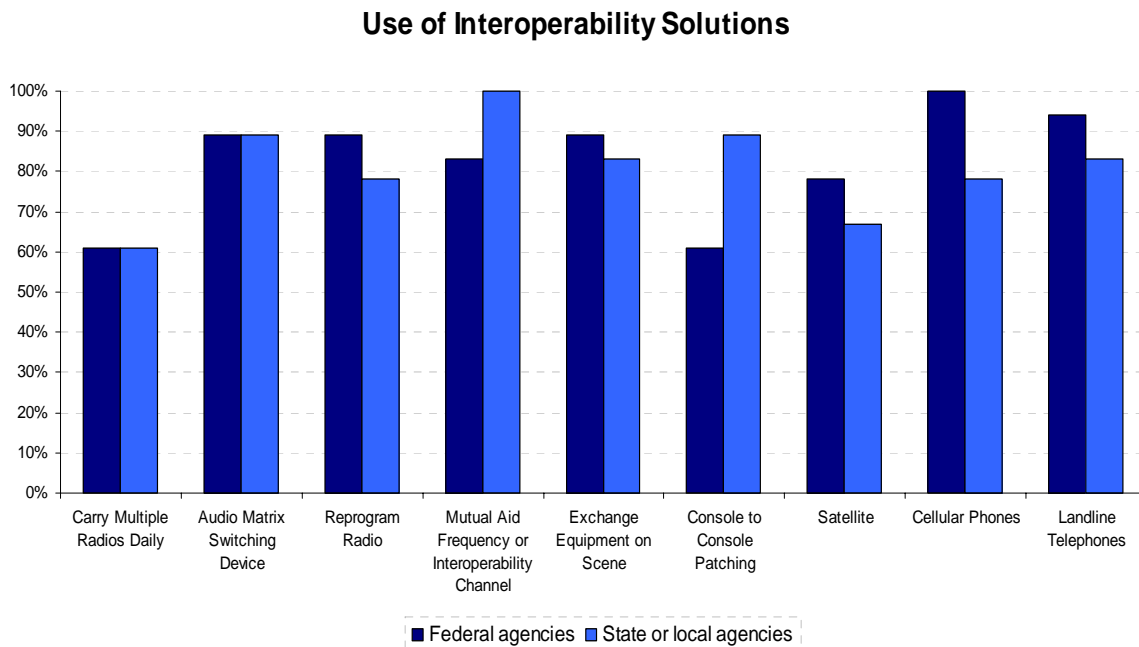
The DHS OEC publishes the National Communications Capabilities Report. Most recently published in March 2008, the Report includes a summary of national interoperable emergency communications equipment in use by public safety agencies. OEC conducted focus interviews with representatives from 20 Federal agencies and 18 State and local agencies. The National Communications Capabilities Report provides an overview of Federal, State, tribal, territorial, and local emergency communications capabilities and assets.

Among the findings of this Report are:

## ORGANIZE, EQUIP, AND TRAIN

- 50 percent of State, territorial, and local agencies and 7 out of 20 Federal agencies use P25-compliant communications equipment.<sup>28</sup>
- Trunking technology is used by more than 50 percent of State, territorial, and local agencies.<sup>29</sup>
- More than 75 percent of interviewed Federal agencies and approximately 78 percent of State, territorial, and local agencies use encryption algorithms to secure emergency communications.
- Backhaul redundancy is built into the primary communications systems of 13 out of 15 interviewed Federal agencies and more than 75 percent of State, territorial, and local agencies.

**Figure 71: Use of Interoperability Solutions**



DOD also maintains an inventory of communications assets in the form of organizations, functions, and equipment that can be provided to civilian authorities during an emergency.

<sup>28</sup> P25, or Project 25 is an initiative to ensure that federal communications professionals have access to interoperable two-way communication equipment.

<sup>29</sup> Trunking technology allows a communications system to support multiple users through a shared frequency, rather than using individual frequencies for each user.

**Department of Defense Asset Contributions.** PKEMRA requires DOD to develop a list of organizations and functions within DOD that may be used to provide support to civil authorities during natural disasters, acts of terrorism, and other manmade disasters. Providing civilian departments and agencies with this information would directly contribute to the creation of a comprehensive Federal Response Capability Inventory.

Relevant DOD activities to support this goal include:

- The use of the Defense Readiness Reporting System (DRRS). Established by DOD directive in February 1999, the DRRS captures capability/readiness information on military resources for combatant commanders, military services, Joint Chiefs of Staff (JCS), and other key DOD users. In DRRS, readiness is measured based on mission-ready equipment, equipment and supplies on hand, training, personnel, and the Commander's assessment.
- The maintenance of communications assets for support to civil authorities during emergency situations.
- The performance of various functions that assist civil authorities during emergencies, through the resources of DOD organizations such as the National Guard and USNORTHCOM.

### **DoD Capabilities-Based Assessment**

DoD is currently conducting a Capabilities-Based Assessment (CBA) of homeland defense, civil support requirements and related capabilities. This is being done so in the event that they are called on to provide support to civil authorities, they will be more easily integrated into the homeland defense, civil support role/mission. Representatives from DHS are participating in the assessment.

EMAC, an independent State and territorial mutual aid program which receives some Federal assistance, has identified 92 mission packages for disaster response, several of which DOD supports with asset contributions.

**Table 2. Department of Defense Asset Contributions**

Damage assessments
Search and rescue
Strategic and tactical lift
Installations
Engineering expertise
Medium/Heavy lift helicopters
Medical support
Airspace control
Communications
Transportation and evacuation
Defense Coordinating Officers and Defense Coordinating Elements
Logistics and distribution
Chemical, Biological, Radiological, Nuclear, and High-Yield Explosives Consequence Management

**Database.** PKEMRA requires the Federal Response Capability Inventory Database section to review the development of an inventory database that has the functionality to provide real-time information during disaster responses, including capabilities, equipment, personnel, and resources. In order to achieve this goal, DHS:

- Has developed the NIMS Incident Resource Inventory System (IRIS) to assist emergency responders with inventorying resources; and
- Is developing the Emergency Management Information Management System (EMIMS), which will ultimately provide the location, content, and status of teams and resources.

Federal inventory programs like NIMS IRIS and EMIMS provide current resource capabilities to emergency responders and future potential for real-time information sharing during disaster response.

FEMA developed NIMS IRIS as a database management tool for the emergency response community. The software will allow emergency responders to enter typed resources and select specific resources for mutual aid and assistance purposes based upon mission requirements, capability of resources, and response time. NIMS IRIS filters a community’s 120 typed resources into a common database. The capability to share and aggregate data between jurisdictions will be available in future NIMS IRIS updates. The NIMS IRIS tool will assist communities with cataloging and typing resources

## ORGANIZE, EQUIP, AND TRAIN

in accordance with NIMS protocols and will facilitate quick identification of resources to support emergency response operations.

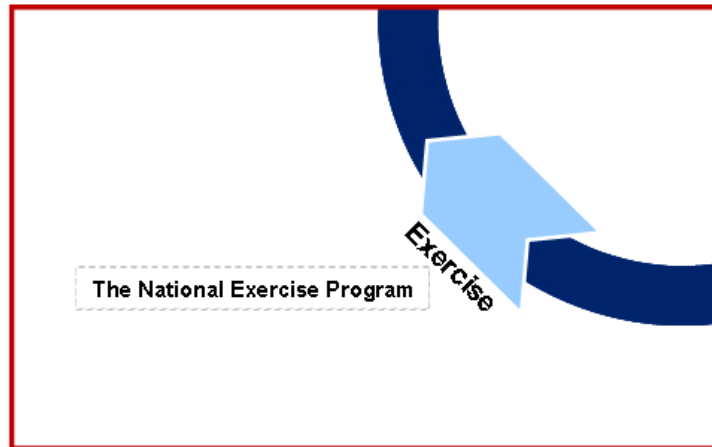
**Figure 72: NIMS IRIS Homepage**



FEMA developed the EMIMS as an online system to plan, identify, inventory, and track assets from mobilization to arrival, demobilization, and departure. EMIMS is intended to improve preparedness and response capabilities and refine the organization and tracking of Federal resources and capabilities used during a disaster response. The system supports the National Response Coordination Center (NRCC), Regional Response Coordination Centers (RRCCs), and field operational locations. The system will assist in managing operations and information flow, maintaining situational awareness, and coordination information sharing among emergency response personnel. EMIMS will eventually be linked to HSIN.

## EXERCISE

The exercise portion of the national preparedness system provides homeland security partners opportunities to practice and validate capabilities that have been built through planning, organizing, training, and equipping.



Short of performance in actual operations, exercise activities provide the best means to evaluate returns on homeland security investments. Coupled with an effective evaluation

program, furthermore, exercises can be used for experimentation—exploring the effects of alternative investments, concepts, technologies, and/or organizational approaches in a controlled environment, without making expensive commitments.

**This section of the FPR directly addresses two PKEMRA sections:**

- **§648(b): National Exercise Program**
- **§649(c)(4): Assess the performance of training, exercises, and operations**

The exercise area represents perhaps the greatest success of DHS and its homeland security partners over the past five years. Together with homeland security partners, DHS has:

- Designed, developed, and implemented the NEP, which has become the core of homeland security activities at all levels of government as well as with the private sector and nongovernmental organizations;
- Directly conducted or supported over 7,000 exercises since FY 2005;
- Directly conducted three TOPOFF full-scale exercises since 2002 involving multiple States, foreign countries, and interagency partners across the Federal Government; and
- Implemented national doctrine for exercises and evaluation through HSEEP.



**The National Exercise Program.** On January 26, 2007, the National Security Council (NSC) and Homeland Security Council (HSC) approved the establishment of the NEP. DHS developed and implemented a NEP that emphasizes realism, flexibility, as well as the testing of the capability and readiness of all levels of government. The NEP is oriented toward stressing target elements of the national preparedness system in ways that generate valuable insights into our national readiness and preparedness. The NEP includes all preparedness-related exercises of varying complexity, to include drills and table-top exercises with a minimum degree of notice regarding exercise details (as safely practical). All NEP and NLE planning uses NIMS as the ICS framework. Furthermore, NEP exercises use all-hazards scenarios and test multiple capabilities.

DHS executes the NEP through four principal elements:

- Shared exercise doctrine, in the form of HSEEP;
- Exercise support to State, tribal, territorial, and local governments in the form of exercise doctrine, tools, and funding;
- Direct conduct of exercises at all levels of government, including NLEs; and
- Sharing of best practices and lessons learned, as well as identification of corrective actions.

**The Homeland Security Exercise and Evaluation Program.**

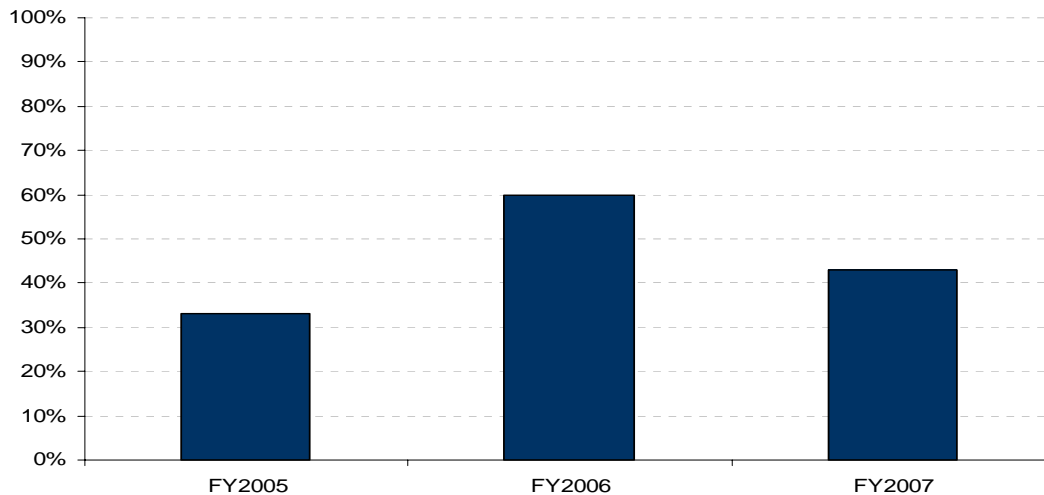
The NEP Charter and Implementation Plan mandated the use of HSEEP exercise methodology and HSEEP Toolkit applications. HSEEP is modular and enables State, tribal, territorial, and local exercise planners to scale exercises to their specifications. In order to create the basis for tracking findings and, ultimately, corrective actions, HSEEP requires that after completion of an exercise, a quick-look report be produced within 30 days and a succeeding AAR be produced no later than 180 days.

The NSC and HSC designated HSEEP as the national exercise doctrine in FY 2007. All Interagency partners have adopted HSEEP as the methodology for all NEP exercises.

## EXERCISE

Beyond Federal partners, FEMA provides the HSEEP doctrine and supporting exercise tools to State, tribal, territorial, and local governments. HSEEP

**Figure 73: Percent of DHS-Funded Exercises Demonstrating Use of HSEEP**



doctrine works in concert with State, tribal, territorial, and local exercise strategies or plans and is scalable to fit their needs. HSEEP policy and guidance requires quick reporting of analytical documents from an exercise. Adopting HSEEP as the recognized standard ensures that all NEP exercises are conducted in accordance with established national guidance such as the Guidelines. As demonstrated in Figure 74 (see next page), the HSEEP compliance rate for exercises nationally has improved. Over the FY 2005-FY 2007 period, HSEEP compliance of all reported exercises has increased from 35 percent to 43 percent.<sup>30</sup>

**DHS Exercise Support.** In addition to doctrine, DHS provides exercise support to State, tribal, territorial, and local governments in the form of exercise tools and funding. First, DHS directly conducted or supported exercises at all levels of government, including NLEs. The number of homeland security exercises either directly conducted or supported by DHS nationally during the FY 2005–FY 2007 period totals over 7,000.

The NEP uses threat and risk-based National Planning Scenarios, as mandated by the Guidelines. It is modular and enables State, tribal, territorial, and local exercise planners to scale exercises to their specifications. Furthermore, States are able to link their plans with the NEP.

<sup>30</sup> In FY 2007 the definition of “HSEEP compliance” changed as HSEEP completed the transition from a task-based analysis to a capabilities-based framework. The decrease in the percentage of HSEEP compliant exercises from FY 2006 to FY 2007 is in part attributable to this change. Since the AAR development process can take several months, AARs for exercises conducted prior to the transition to the capabilities-based approach were being received in FY 2007 and had to be recorded as being non-compliant (even though at the time of their conduct they were compliant with the existing HSEEP model).

## EXERCISE

The NEP supports the conduct of State, tribal, territorial, and local exercises through funding and the provision of direct support personnel who assist in the planning, conduct, and evaluation of State, tribal, territorial, and local exercises. DHS funded 160 exercises in FY 2007. Moreover, DHS FY 2007 exercises evaluated almost all priority target capabilities.<sup>31</sup> During FY 2007, the NEP Exercise Support breakdown by exercise type was:

- 73.5 percent for operations-based exercises
- 23 percent for discussion-based exercises
- 3.5 percent for other types of exercises

**DHS-Conducted Exercises.** DHS also directly conducts a large number of homeland security exercises to validate Federal level capabilities. The NEP conducts four Cabinet-Level Exercises and one NLE annually and myriad other exercises of varying sizes and complexity. The FY 2006–FY 2008 period included four operations-based NLEs:

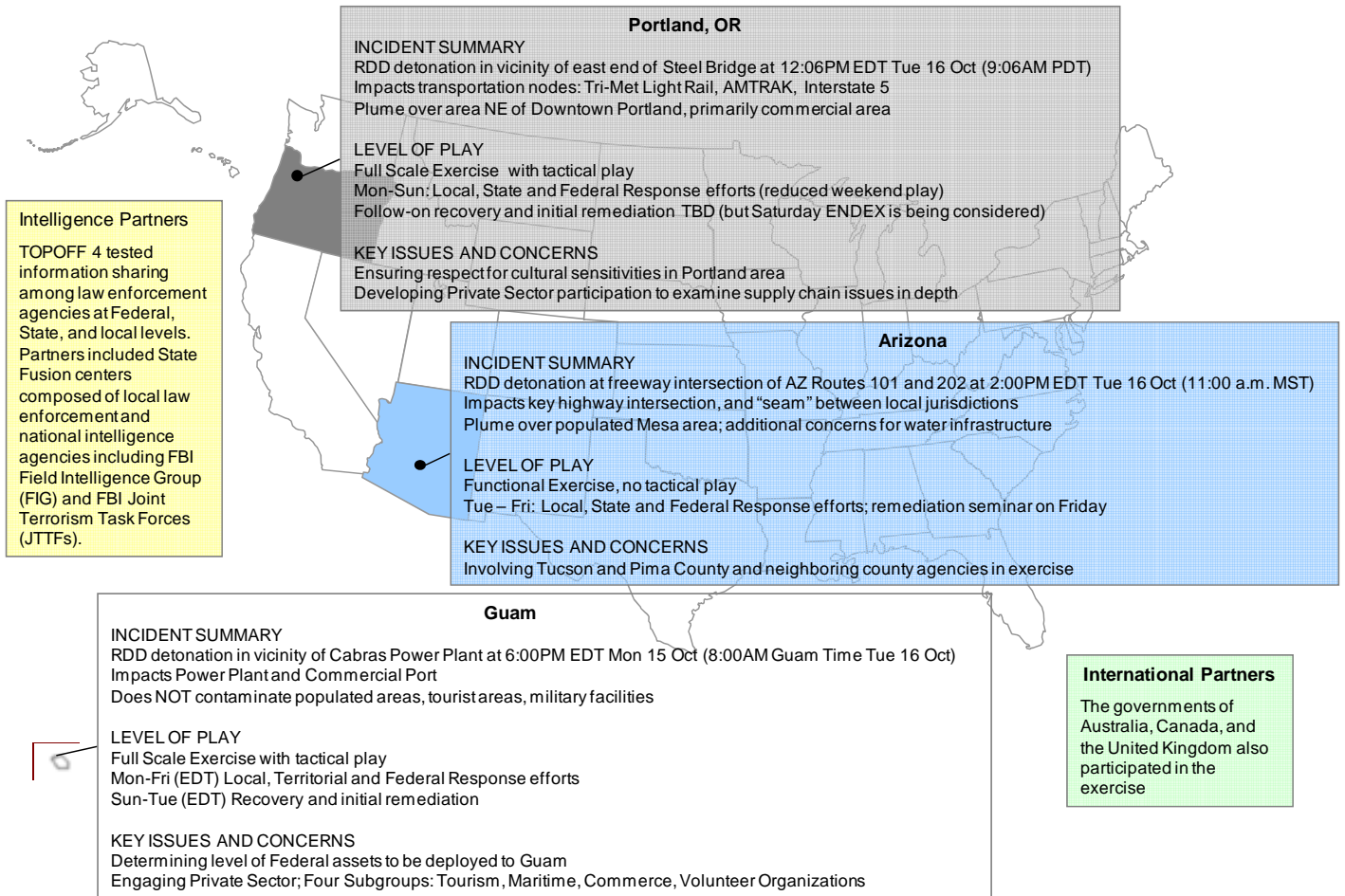
- **TOPOFF 4.** See following paragraph.
- **TOPOFF 3.** See following paragraph.
- **Pinnacle.** The Pinnacle exercise was an operations-based exercise designed to test continuity of governance (COG) and continuity of operations (COOP) capabilities of the Federal Government.
- **Ardent Sentry-Northern Edge.** This exercise was a National Guard-sponsored operations-based exercise.

TOPOFF operations-based exercises are national in scope, and include participation of officials ranging from the President to emergency responders on the scene of an incident. The TOPOFF series is congressionally mandated. First conducted in May 2000, the TOPOFF series is designed to strengthen the Nation's capacity to prevent, protect against, respond to, and recover from terrorist attacks involving WMD. TOPOFF exercises address all levels of government, the private sector, and select international partners. As full-scale, national exercises, TOPOFFs provide the means to conduct "full-scale, full system tests" of collective preparedness, interoperability, and collaboration.

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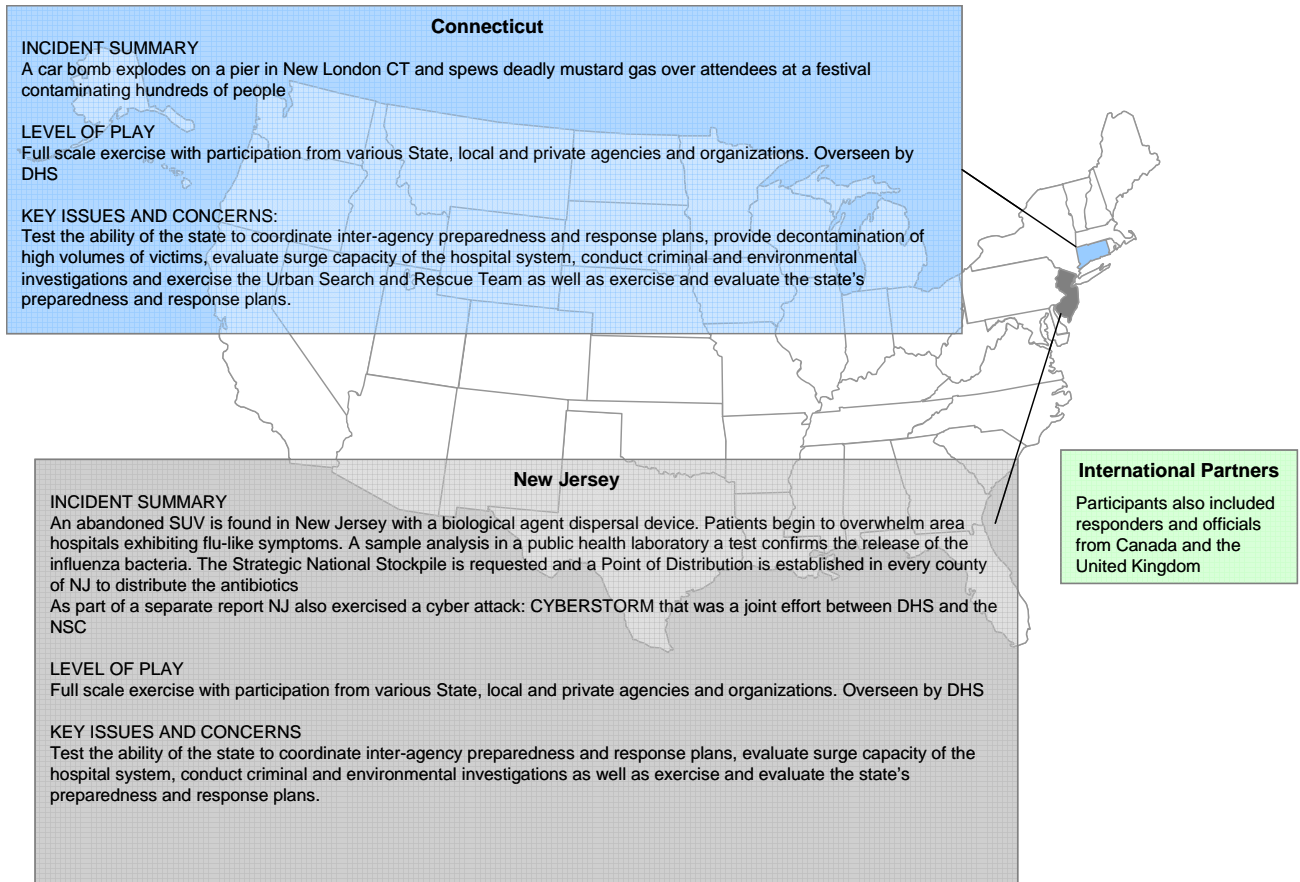
<sup>31</sup> Intelligence/Information Sharing and Dissemination was the only priority capability which was not recorded as having been exercised in AARs submitted to the ODP Portal. \*

Figure 74: TOPOFF 4: 15-20 October, 2007



**EXERCISE**

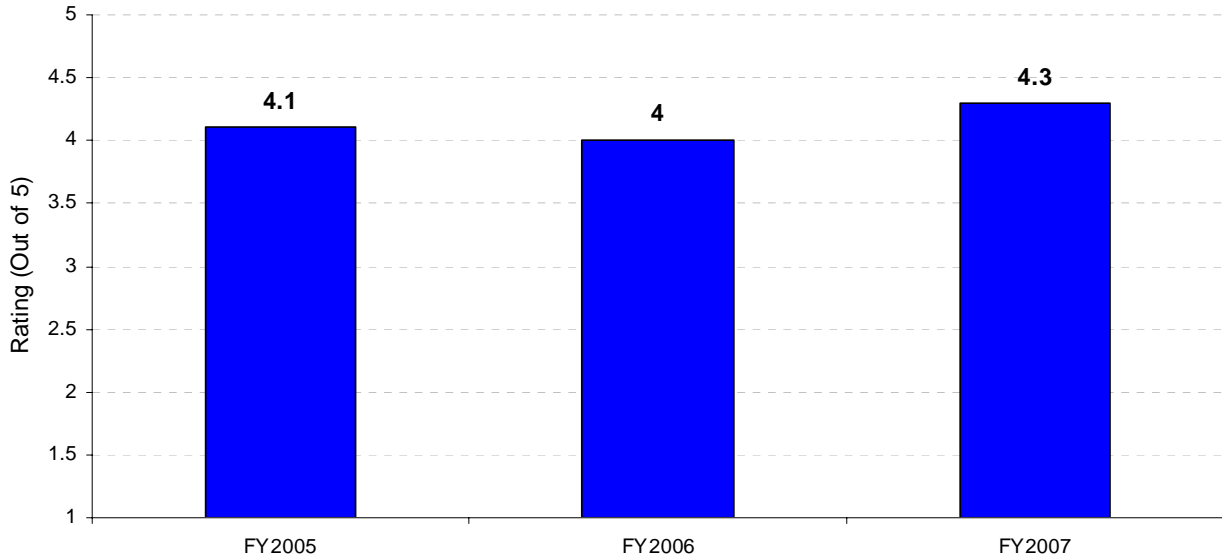
**Figure 75: TOPOFF 3 National Exercise Program, April 4-8, 2005**



## EXERCISE

In addition, in 2007, the DHS Radiological Emergency Preparedness Program (REPP) conducted and evaluated 76 Radiological Emergency Preparedness exercises and drills.

**Figure 76: Average Satisfaction Rating by DHS Exercise Participants**



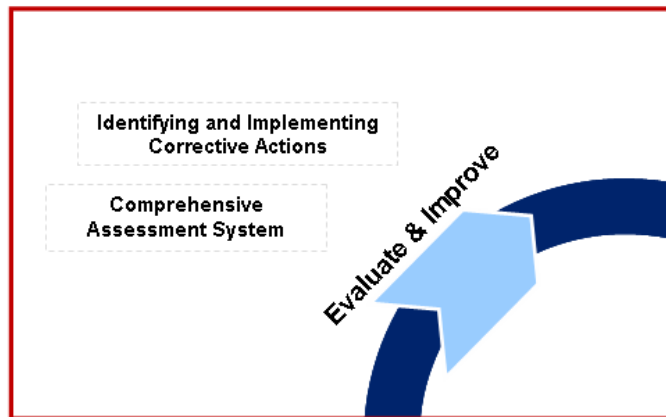
As measured by cost and satisfaction, the initial feedback on the NEP is very positive. DHS maintained high participant satisfaction while keeping average exercise costs below the target amount. As demonstrated in Figure 77, exercise participants consistently report high levels of satisfaction (4 out of 5 or better) with exercise performance.

## EVALUATE AND IMPROVE

The Evaluate and Improve portion of the National Preparedness Cycle and system is intended to close the loop, assessing the returns on our preparedness efforts and realizing concrete improvements where shortfalls are identified.

Thus, the Evaluate and Improve section of the FPR outlines DHS's progress toward developing a comprehensive assessment system and corrective action process. To achieve this goal, DHS is:

- Collecting assessment data on numerous preparedness areas;
- Evaluating six homeland security capability assessment systems; and
- Revising the TCL.



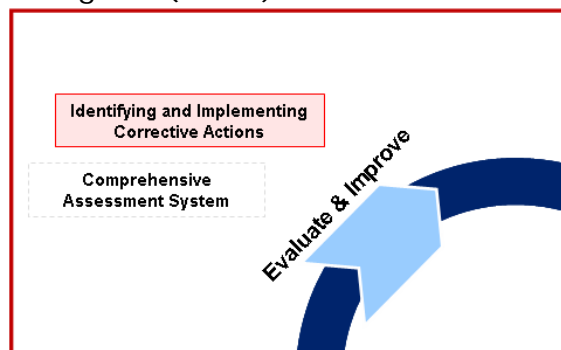
**This section of the FPR directly addresses one PKEMRA section:**

- **§652(a)(2)(A): An assessment of how Federal assistance supports the national preparedness system**

The Evaluate and Improve area is the least mature element of the National Preparedness Cycle and system. As described below, national evaluation and corrective action is composed of a wide range of systems and approaches with varying levels of integration. Improving this integration in order to create the PKEMRA-mandated comprehensive assessment system represents a top priority for FEMA/NPD in the coming year.

**Existing Systems.** DHS is currently using three systems for identifying, developing, and tracking corrective actions:

- The Remedial Action Management Program (RAMP) tracks FEMA-specific actions following FEMA participation in exercises and emergency declarations.
- The Corrective Action Program (CAP) supports issue resolution among State, tribal, territorial, and local jurisdictions and throughout the Federal Interagency.



## EVALUATE AND IMPROVE

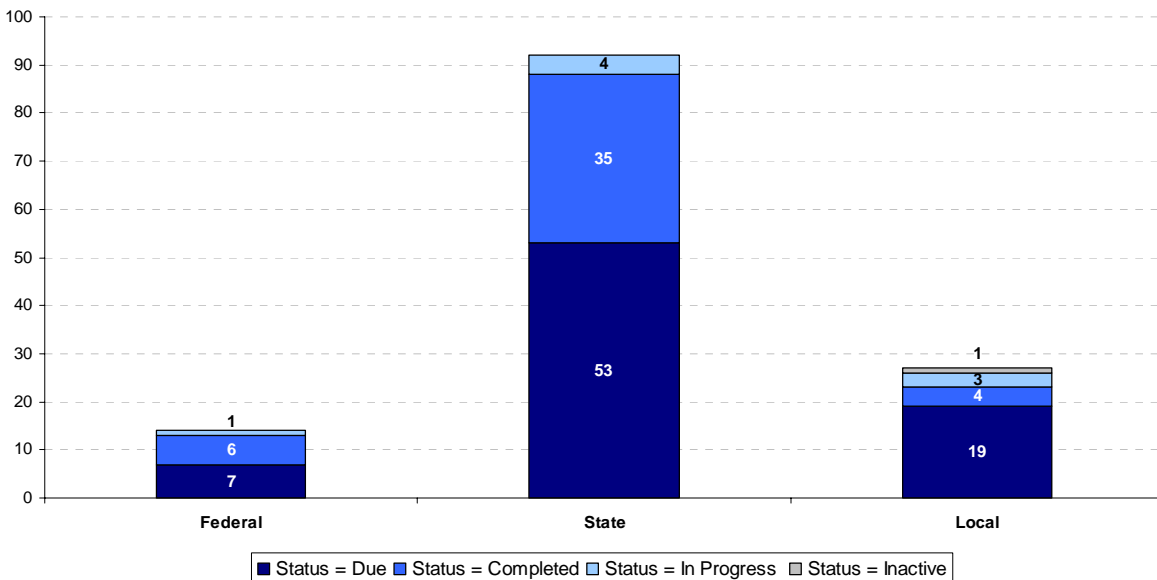
- DHS also provides the Nation with a comprehensive system for identifying and sharing lessons learned and best practices—the Lessons Learned Information Sharing system (LLIS.gov). LLIS.gov has more than 50,000 users, representing Federal, State, local, and private-sector homeland security stakeholders.

Launched in 2003, RAMP tracks FEMA-specific actions following FEMA participation in exercises and emergency declarations. FEMA released a RAMP web application on January 19, 2006. RAMP may be accessed and searched by all FEMA intranet users. RAMP captures three types of content: issues, lessons learned, and smart practices. Users can add content directly into the online tool.

The CAP and CAP System support issue resolution involving coordination among State, tribal, territorial, and local jurisdictions and throughout the Federal Interagency. The CAP System was launched in November 2006. The CAP System is required for use in DHS-sponsored exercises or exercises that fall under the auspices of the NEP. Once finalized, corrective actions from TOPOFF 4 will be tracked in the CAP System. The majority of corrective actions entered into the CAP System through FY 2007 are from State-level exercises/real-world events.

As of March 2008, the CAP boasts more than 2,000 registered users. In FY 2007, 135 corrective actions were entered into the CAP System at the Federal, State, tribal, territorial, and local levels.

**Figure 77: Status of Corrective Actions in the CAP System**



LLIS.gov supports the identification and communication of broadly applicable best practices and lessons learned. These can be used as sources for corrective actions to meet needs or gaps identified during the evaluation



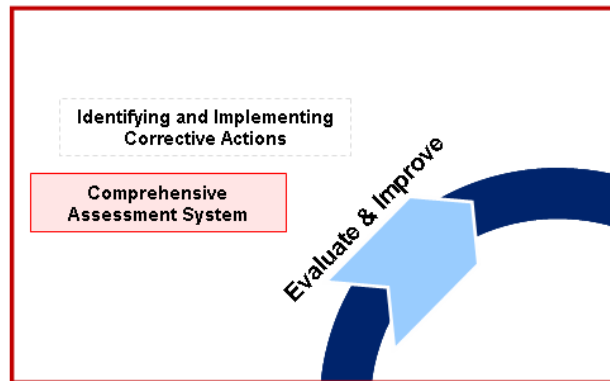
## EVALUATE AND IMPROVE

process. LLIS.gov is DHS's national online network of lessons learned and best practices. LLIS.gov currently houses more than 625 Federal, State, tribal, territorial, and local AARs. It contains 147 Best Practice and 416 Lesson Learned documents. Overall, LLIS.gov boasts 50,000+ users representing Federal, State, local, and private-sector stakeholders across the Nation.

In addition, DHS is collecting assessment data on NIMS compliance, capabilities, resources to support critical response mission areas, and financial resources needed to meet preparedness priorities.

**Evaluation of Existing Assessment Systems.** In order to build an effective comprehensive assessment system, DHS's NPD is currently evaluating its existing suite of evaluation systems with the aim of:

- Selecting the best candidate for a comprehensive system;
- Integrating two or more systems; or
- Developing an entirely new system.



This evaluation will capture the processes and methodologies used by each system to assess capabilities and/or compliance. The future comprehensive assessment system will assess capability using the revised TCL metrics, described earlier. The specific assessment systems under review are:

- ***NIMS Compliance Assessment Support Tool.*** NIMSCAST, a Web-based self-assessment instrument, evaluates compliance with NIMS implementation activities. Overseen by FEMA's NIC/Incident Management Systems Division, NIMSCAST is currently fully certified and approved to operate, with accounts for 31 Federal signatories to the NRF, 42 States and territories, and 18,000 local and tribal entities. NIMSCAST establishes baseline measures for compliance with NIMS standards, primarily through yes/no performance-based questions.
- ***Gap Analysis Program.*** The GAP measures preparedness through readiness indicators and quantifiable resource data within seven critical response missions. The FEMA Operations Management Division and five FEMA regions conducted the first iteration of the GAP in spring 2007, involving 18 States in hurricane-prone regions of the Atlantic and gulf coasts. The GAP process identifies "gaps" between an estimated incident response need and the capability of the local jurisdiction, State, or Federal Government to fill or address that need.

Future plans for GAP include data collection through a Web-based tool and geospatial mapping capabilities.

- ***Pilot Capabilities Assessment (PCA)***. The PCA is a repeatable assessment methodology that captures intrastate regional preparedness planning and investment efforts. It is intended to be an iterative process that solicits and incorporates feedback from each pilot site. As of November 2007, the PCA has been piloted or is being piloted in two versions (1.0 and 2.0) in Florida, Minnesota, Denver (Colorado), Michigan, Pennsylvania, and Utah. The PCA assesses a region's progress toward achieving self-defined targets for activities that are mapped to TCL capabilities.
- ***National Preparedness System (NPS)***.<sup>32</sup> The NPS is an extensively developed—but not yet fully implemented—Web-based system that has been field tested in 10 States as of January 2008. The NPS assesses jurisdictions on all 37 target capabilities of the current TCL, measuring their ability to deliver TCL measures such as planning, organization, equipment, training, and exercises. The system is intended to guide users through a comprehensive planning and assessment process that will clarify roles, inform investments, and support strategic decision making.
- ***State Preparedness Reports***. The SPR is a PKEMRA-mandated reporting requirement that is a condition for receiving homeland security grant funding in FY 2008; thus, all 56 States and territories have developed and submitted SPRs by March 31, 2008. As described in PKEMRA, SPRs will contain assessments of current capability levels, descriptions of unmet target capabilities, and assessments of resource needs to meet preparedness priorities. Guidance for the SPR also includes self-defined 3-year targets for each State and a section to report on NIMS compliance. Although SPRs are not assessment systems, they were included in the study to ensure reporting mechanisms were fully integrated in understanding future assessment processes
- ***Capabilities Assessment for Readiness (CAR)***. The CAR was a one-time, nationwide assessment of emergency management performance conducted by FEMA in 1997. The CAR was created in response to a congressional inquiry, led by Senator Christopher Bond of the U.S. Senate Committee on Appropriations, which called for a national set of emergency management performance criteria for FEMA grant recipients. Developed jointly with the National Emergency Management Association and with approval from the Office of Management and Budget (OMB) for survey distribution, the CAR was a 3-month period of methodology training, collaboration with FEMA regional offices, and self-assessments by 56 States and territories

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<sup>32</sup> The NPS described here refers to a readiness reporting tool, as opposed to the PKEMRA defined national preparedness system described in the Introduction.

**EVALUATE AND IMPROVE**

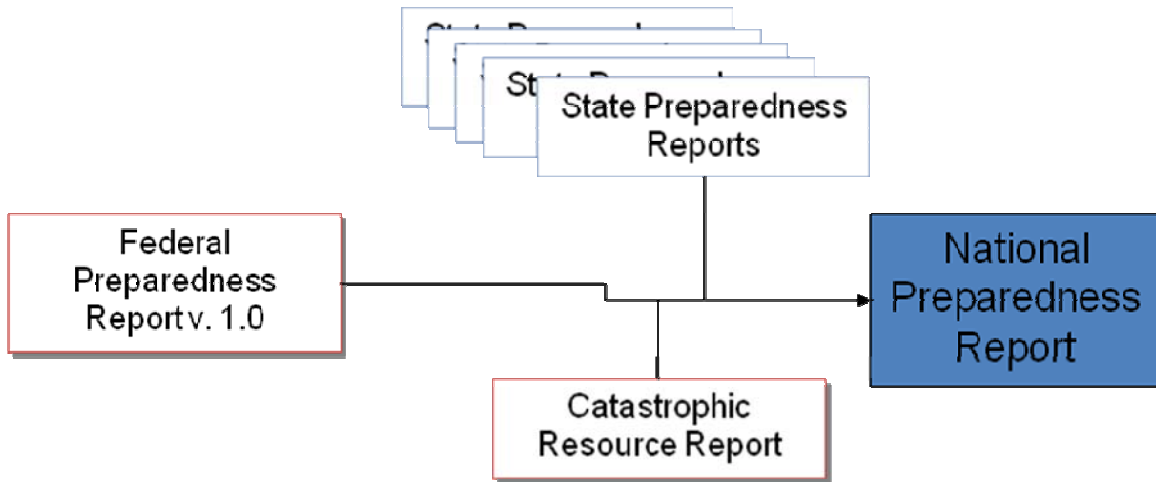
based on 13 Emergency Management Functions from the National Fire Protection Association 1600 standard.

## WAY FORWARD

This inaugural FPR is just the first element of a continuing system of preparedness reporting and assessment. With the ultimate goal being the achievement of the PKEMRA-mandated comprehensive assessment system, in the immediate-term FEMA will be taking a number of steps towards improving its understanding of the currently available preparedness data and turning those findings into practical improvements in preparedness. At the same time, FEMA will be working with DHS and Federal partners to institutionalize the routine collection and systematic analysis of essential data.

One of the first steps in our efforts will be the integration of reporting requirements. FEMA proposes that the next version of the FPR be named the National Preparedness Report. Properly named, the National Preparedness Report will aim to be the definitive statement of the state of homeland security preparedness across all parts of the Federal Government, as well as across State, local, tribal, and territorial governments. As Figure 79 highlights, FEMA will integrate the current FPR with the two other reporting requirements highlighted in PKEMRA: the SPRs and the Catastrophic Resource Report.

Figure 78: National Preparedness Report Way Forward



As highlighted throughout this Report, a comprehensive assessment of preparedness will require more data of better quality than we possess today. Thus, in the coming months, FEMA will initiate a number of data calls to fill gaps identified during the development of the FPR. These include:

## WAY FORWARD

- ESF Data Calls – NPD, working with FEMA Disaster Operations, will institute a process of routine data-calls for the coordinating department/agency of each ESF. If it does not do so already, Emergency Support Function coordinating department/agency must have an inventory of the readiness of each of the assets that it might call upon for support.
- Department/Agency-Specific Data Calls – Not all departmental/agency capabilities are going to be captured in the ESF data calls. For example, departments and agencies are likely to consider certain capabilities as central to the execution of their statutory missions and, thus, not necessarily available for ESF mission assignments. Nevertheless, there are certain circumstances in which these capabilities might be relevant. Therefore, in addition to ESF-specific requests, NPD will work with several Federal Interagency partners as a matter of priority to identify all of their potentially relevant capabilities. Priority data calls in the near-term are likely to include:
  - DOD (Office of the Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs, Joint Staff J-3, U.S. Northern Command, the National Guard Bureau, and the U.S. Army Corps of Engineers)
  - HHS (Assistant Secretary for Preparedness and Response and CDC)
  - Department of Transportation (DOT)
- Inventory of DHS Prevention and Protection Assets and Capabilities – Because of this FPR's response focus, much of DHS's prevention and protection capabilities were not included in this Report. Subsequent versions will address this shortfall by assessing the very substantial investments that DHS has made in areas such as Transportation Security Administration (TSA), USCG, CBP, and so forth.

The outputs of these data calls will serve as inputs both to the Catastrophic Resource Report as well as to the revised CIS.

Over time, FEMA will institute more systematic methods for collecting and assessing preparedness data. As noted above, FEMA is currently evaluating several readiness reporting systems for their relevance for building the comprehensive assessment system.

Another priority initiative aimed at structural challenges is the on-going development of the IPS. Starting at the Federal level but ultimately encompassing State, local, tribal, and territorial efforts, the IPS will provide the structure for integrating homeland security planning efforts. Integrated families of plans will help all security stakeholders to organize their efforts towards priorities and gaps in capabilities.

## WAY FORWARD

Finally, FEMA is also working with Federal, State, local, tribal, and territorial partners to develop the next version of the TCL. While the first version of the TCL has provided the Nation with common terminology to discuss capabilities, TCL 2.0 will provide improved measures and metrics to support actual measurement of those capabilities within and across jurisdictions, at all levels of government. Through collaboration among Federal, State, local, tribal and territorial partners, each capability will also include a defined target.

# ACRONYMS

<p><b>AAR:</b> after action report</p> <p><b>AEL:</b> Authorized Equipment List</p> <p><b>ANSI:</b> American National Standards Institute</p> <p><b>BSIR:</b> Bi-Annual Strategy Implementation Report</p> <p><b>BZPP:</b> Buffer Zone Protection Plan</p> <p><b>CAD:</b> Communications Asset Database</p> <p><b>CAMRA:</b> Center for Advancing Microbial Risk Assessment</p> <p><b>CAP:</b> Corrective Action Program</p> <p><b>CAR:</b> Capabilities Assessment for Readiness</p> <p><b>CASM:</b> Communications Asset Survey and Mapping Tool</p> <p><b>CBA:</b> Capabilities-Based Assessment</p> <p><b>CBP:</b> U.S. Customs and Border Protection</p> <p><b>CBRNE:</b> Chemical, Biological, Radiological, Nuclear, and Explosive</p> <p><b>CCP:</b> Citizen Corps Program</p> <p><b>CDC:</b> Centers for Disease Control and Prevention</p> <p><b>CDP:</b> Center for Domestic Preparedness</p> <p><b>CERT:</b> Community Emergency Response Team</p> <p><b>CIKR:</b> critical infrastructure and key resources</p> <p><b>CIS:</b> Catastrophic Incident Supplement</p> <p><b>COE:</b> Homeland Security Center of Excellence</p> <p><b>COG:</b> continuity of governance</p> <p><b>COOP:</b> continuity of operations</p>	<p><b>CPD:</b> Citizen Preparedness Division</p> <p><b>CREATE:</b> Center for Risk and Economic Analysis of Terrorism Events</p> <p><b>CSEPP:</b> Chemical Stockpile Emergency Preparedness Program</p> <p><b>CSI:</b> Container Security Initiative</p> <p><b>CSID:</b> Centralized Scheduling and Information Desk</p> <p><b>CTGP:</b> Competitive Training Grants Program</p> <p><b>DHS:</b> Department of Homeland Security</p> <p><b>DNDO:</b> Domestic Nuclear Detection Office</p> <p><b>DoD:</b> Department of Defense</p> <p><b>DOE:</b> Department of Energy</p> <p><b>DOT:</b> Department of Transportation</p> <p><b>DPETAP:</b> Domestic Preparedness Equipment Technical Assistance Program</p> <p><b>DRRS:</b> Defense Readiness Reporting System</p> <p><b>EMAC:</b> Emergency Management Assistance Compact</p> <p><b>EMAP:</b> Emergency Management Accreditation Program</p> <p><b>EMI:</b> Emergency Management Institute</p> <p><b>EMIMS:</b> Emergency Management Information Management System</p> <p><b>EOC:</b> emergency operations center</p> <p><b>EPA:</b> Environmental Protection Agency</p> <p><b>ESF:</b> Emergency Support Function</p> <p><b>FAD:</b> foreign animal disease</p>
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## ACRONYMS

**FAZD:** National Center for Foreign Animal and Zoonotic Disease Defense

**FBI:** Federal Bureau of Investigation

**FEMA:** Federal Emergency Management Agency

**FIG:** FBI Field Intelligence Group

**FPC:** Federal Preparedness Coordinator

**FPR:** Federal Preparedness Report

**FTE:** full-time equivalent

**FY:** fiscal year

**FYHSP:** Future Years Homeland Security Program

**GAO:** Government Accountability Office

**GAP:** Gap Analysis Program

**GPD:** Grant Programs Directorate

**G&T:** Office of Grants and Training

**HazMat:** hazardous materials

**HHS:** Department of Health and Human Services

**HMGP:** Hazard Mitigation Grant Program

**HSC:** Homeland Security Council

**HSDN:** Homeland Security Data Network

**HSEEP:** Homeland Security Exercise and Evaluation Program

**HSGP:** Homeland Security Grant Program

**HSIN:** Homeland Security Information Network

**HSMS:** Homeland Security Management System

**HSNTP:** Homeland Security National Training Program

**HSPD:** Homeland Security Presidential Directive

**IAB:** InterAgency Board for Equipment Standardization and Interoperability

**ICS:** Incident Command System

**IDS-UAC:** University Affiliate Center to the Institute for Discrete Sciences

**IED:** improvised explosive device

**IND:** improvised nuclear device

**IPP:** Infrastructure Protection Program

**IPS:** Integrated Planning System

**IRIS:** Incident Resource Inventory System

**ISE:** information sharing environment

**ISCC:** Information Sharing Coordinating Council

**ISGB:** Information Sharing Governance Board

**ISP:** Independent Study Program

**JCS:** Joint Chiefs of Staff

**JTTF:** Joint Terrorism Task Force

**KSA:** knowledge, skill, and ability

**LETPP:** Law Enforcement Terrorism Prevention Program

**LLIS:** Lessons Learned and Information Sharing

**LMD:** Logistics Management Directorate

**MET:** Naval Postgraduate School Mobile Education Team

**MMRS:** Metropolitan Medical Response System

**MRC:** Medical Reserve Corps

**NBACC:** National Biodefense Analysis and Countermeasures Center

**NCFPD:** National Center for Food Protection and Defense

**NDPC:** National Domestic Preparedness Consortium

**NEP:** National Exercise Program

**NFA:** National Fire Academy



## ACRONYMS

**NFPA:** National Fire Protection Association  
**NIC:** National Integration Center  
**NIMS:** National Incident Management System  
**NIMSCAST:** NIMS Compliance Assistance Support Tool  
**NIPP:** National Infrastructure Protection Plan  
**NLE:** national level exercise  
**NNSA:** National Nuclear Security Administration  
**NOAA:** National Oceanic and Atmospheric Administration  
**NPD:** National Preparedness Directorate  
**NPPD:** National Protection and Programs Directorate  
**NPS:** National Preparedness System  
**NPS:** Naval Postgraduate School  
**NRCC:** National Response Coordination Center  
**NRF:** National Response Framework  
**NRP:** National Response Plan  
**NSC:** National Security Council  
**OEC:** Office of Emergency Communications  
**OMB:** Office of Management and Budget  
**PACER:** National Center for the Study of Preparedness and Catastrophic Event Response  
**PCA:** Pilot Capabilities Assessment  
**PDM:** Pre-Disaster Mitigation Grant Program  
**PKEMRA:** Post-Katrina Emergency Management Reform Act of 2006  
**PRD:** Personal Radiation Detector  
**PSA:** Protective Security Advisor  
**PSGP:** Port Security Grant Program

**PSMA:** pre-scripted mission assignment  
**QSII:** Quad State Interoperability Initiative  
**RAMP:** Remedial Action Management Program  
**RDD:** radiological dispersal device  
**RDPC:** Rural Domestic Preparedness Consortium  
**REP:** Radiological Emergency Preparedness  
**REPP:** Radiological Emergency Preparedness Program  
**RIID:** Radiation Isotope Identification Device  
**RKB:** Responder Knowledge Base  
**RMA:** Office of Risk Management and Analysis  
**RRCC:** Regional Response Coordination Center  
**RSC:** Risk Steering Committee  
**RVAC:** Regional Visualization and Analytics Center  
**SAVER:** System Assessment and Validation for Emergency Responders  
**SCBA:** self-contained breathing apparatus  
**SEL:** Standardized Equipment List  
**SFI:** Secure Freight Initiative  
**SGS:** Strategic Guidance Statements  
**SHSP:** State Homeland Security Program  
**SMC:** Shared Mission Community  
**SNS:** Strategic National Stockpile  
**SPR:** State Preparedness Report  
**START:** National Consortium for the Study of Terrorism and Responses to Terrorism  
**T&EPW:** Training and Exercise Planning Workshop  
**TCL:** Target Capabilities List

## ACRONYMS

**TEI:** Training and Exercise  
Integration Secretariat

**TICP:** Tactical Interoperable  
Communications Plan

**TOPOFF:** Top Officials exercise  
series

**TSA:** Transportation Security  
Administration

**TSGP:** Transit Security Grant  
Program

**UASI:** Urban Areas Security  
Initiative

**USCG:** U.S. Coast Guard

**USGS:** U.S. Geological Survey

**VA:** vulnerability assessment

**VIPS:** Volunteers in Police Service

**WMD:** weapon of mass destruction