



U.S. DEPARTMENT OF HOMELAND SECURITY

Fiscal Year 2008

STATE PREPAREDNESS REPORT GUIDANCE

November 2007



U.S DEPARTMENT OF HOMELAND SECURITY

PREFACE

This State Preparedness Report Guidance Document reflects the recent name and content changes to the National Preparedness Guidelines¹ (NPG) (formerly the Interim National Preparedness Goal) and National Response Framework² (NRF) (formerly the National Response Plan). This document also reflects the capabilities identified in the Target Capabilities List³ (TCL) released in September 2007.

The NPG identifies the eight National Priorities and the capabilities from the TCL associated with those eight National Priorities. Two changes were made to the National Priorities list and are reflected in this document as listed below:

- The name of the “Law Enforcement Investigation and Operations” capability has changed to “Counter-Terror Investigations and Law Enforcement”
- A new capability has been added to the Strengthen Communications Capabilities National Priority: “Emergency Public Information and Warning”

States and Territories are encouraged to address the new “Emergency Public Information and Warning” capability in their discussion of the Strengthen Communications Capabilities National Priority. With the exception of the new capability, all other changes only reflect updates to terminology used in this report and thus do not warrant any additional action taken on behalf of the State or Territory.

¹ National Preparedness Guidelines: <http://www.fema.gov/pdf/government/npg.pdf> (September 13, 2007)

² National Response Framework (Draft for comment): <http://www.fema.gov/emergency/nrf/> (September 10, 2007)

³ Target Capabilities List: <http://www.llis.gov> (September 13, 2007)

TABLE OF CONTENTS

PART ONE: STATE PREPAREDNESS REPORT OVERVIEW	1
INTRODUCTION.....	2
A. Purpose	2
B. Linking the State Preparedness Report to Existing Requirements	3
PLANNING FOR AND SUBMITTING THE REPORT.....	5
A. Engaging Stakeholders.....	5
B. Designation of the Report.....	5
C. State Preparedness Report Mock-Up.....	6
D. Ongoing Support	6
E. Technical Assistance	6
F. Submission of the State Preparedness Report.....	6
PART TWO: STATE PREPAREDNESS REPORT GUIDANCE	7
WRITING THE REPORT	8
EXECUTIVE SUMMARY	9
STATE OVERVIEW	10
COMPLIANCE	12
PRIORITIES	14
A. Accomplishments.....	15
B. Current Capabilities	16
C. Three-Year Targets	19
D. Initiatives.....	20
E. Resources.....	21
SUMMARY	23
APPENDIX	24
APPENDIX A: TERMS AND DEFINITIONS.....	25
APPENDIX B: ACRONYMS	27
APPENDIX C: RELEVANT GRANT PROGRAMS	28
APPENDIX D: AVAILABLE DATA.....	29
APPENDIX E: ITEMS TO ADDRESS IN THE CURRENT CAPABILITIES	31
APPENDIX F: TARGET CAPABILITIES LIST	37
APPENDIX G: SUBMISSION OF THE STATE PREPAREDNESS REPORT	38
APPENDIX H: ADDRESSING NATIONAL PRIORITY 1-IMPLEMENT THE NIMS AND THE NRF.....	39

TABLE OF FIGURES

Figure 1: Response to Congressional Requirements	3
Figure 2: Priority Report Sections	14
Figure 3: National Priorities.....	16
Figure 4: Template for Three-Year Targets	19
Figure 5: Submitting the State Preparedness Report	38
Figure 6: Submitting the State Preparedness Report (Continued)	38

PART ONE: STATE PREPAREDNESS REPORT OVERVIEW

INTRODUCTION

A. Purpose

The State Preparedness Report is one of the first steps in moving the grant processes, programs, and planning from a focus on loosely affiliated equipment, training, exercises and technical assistance projects to one that delivers an integrated picture of prevention, protection, response and recovery capacity.

The Post Katrina Emergency Management Reform Act (PKEMRA) of 2006⁴ (Section 652) established this reporting requirement. The intent of the requirement is to use the State Preparedness Report as a means to report on progress and showcase the capabilities and accomplishments of a State or Territory's⁵ all-hazards preparedness program. This report will enable States to communicate to Congress current accomplishments in building National Priorities and capabilities and how they will continue to increase statewide preparedness. In addition to this primary purpose, the State Preparedness Report also:

- ***Plays a key role in reinforcing a common approach to preparedness***, which was established in previous Federal guidance, including Homeland Security Presidential Directive 8, the National Incident Management System (NIMS) and the National Response Framework⁶ (NRF), the National Preparedness Guidelines⁷ (NPG), the National Planning Scenarios, and the Target Capabilities List⁸ (TCL)
- ***Helps State program managers make informed decisions*** in their own preparedness planning by comparing historical information, current capability levels, future activities, and financial data in a single document
- ***Facilitates communication with multiple audiences***, including States, Congress, the Department of Homeland Security (DHS) and other Federal partners

The State Preparedness Report promotes enhanced decision-making by providing a strategic perspective of a State's all-hazards preparedness program

A significant effort was initiated in preparation for the first reporting year to gather input from State and local homeland security officials to develop a realistic approach and valuable guidance to enable States to appropriately respond to this congressional

⁴ The Act is available online at the Government Printing Office website: http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=109_cong_bills&docid=f:h5441enr.txt.pdf (Section 652)

⁵ The term State refers to both States and Territories throughout the remainder of the document

⁶ National Response Framework (Draft for comment): <http://www.fema.gov/emergency/nrf/> (September 10, 2007)

⁷ National Preparedness Guidelines: <http://www.fema.gov/pdf/government/npg.pdf> (September 13, 2007)

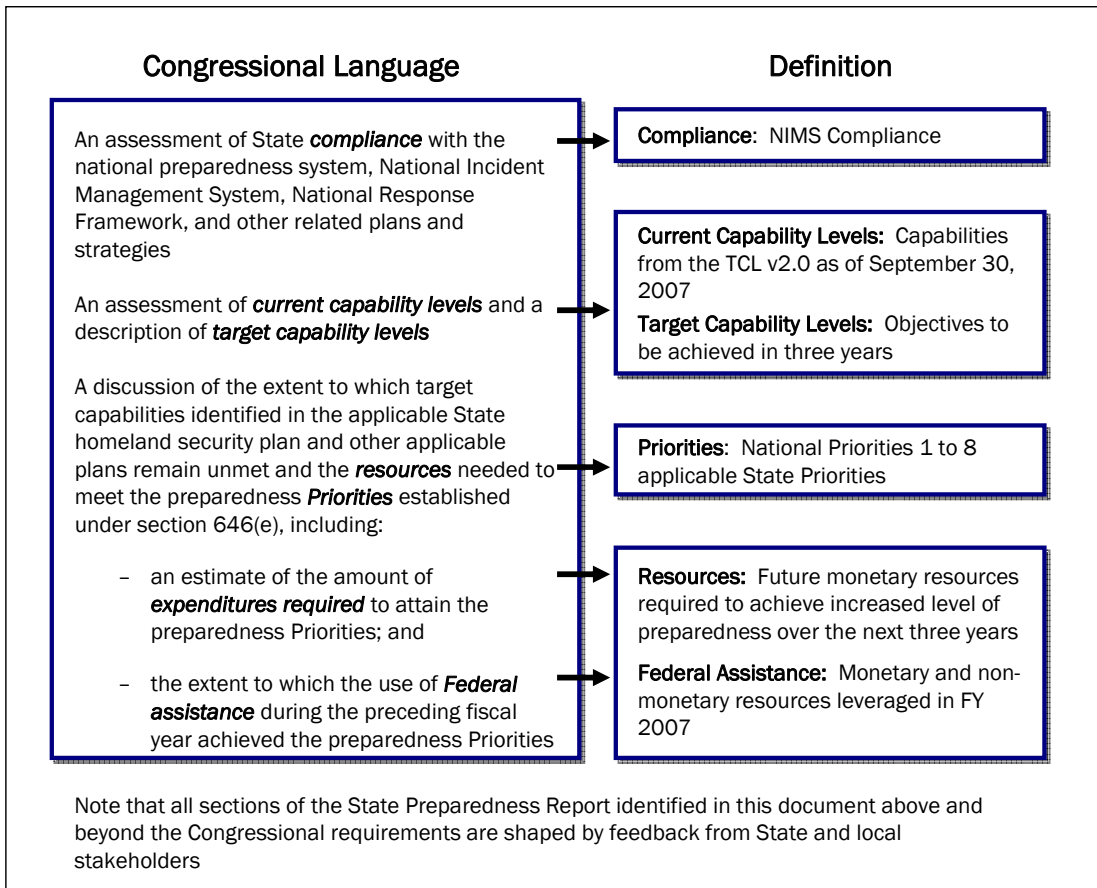
⁸ Target Capabilities List: <http://www.llis.gov> (September 13, 2007)

requirement. DHS worked with 130 State and local homeland security officials from 42 States to develop the requirements and guidance for the State Preparedness Report. DHS will continue to host these collaborative efforts with State and local stakeholders to obtain even better methods and support tools, and to offer States updated and improved versions of State Preparedness Report guidance and technical assistance programs in future years.

B. Linking the State Preparedness Report to Existing Requirements

PKEMRA requires any State receiving Federal preparedness assistance to submit a State Preparedness Report to DHS. The figure below identifies requirements in the Act. The figure provides definitions of key terms from the Act and where the requirements are met in the State Preparedness Report. (Please note that Part Two of this document describes each section in detail.)

Figure 1: Response to Congressional Requirements



The State Preparedness Report provides an opportunity to integrate and streamline multiple existing requirements. In the first reporting year, the State Preparedness Report will fulfill the following requirements:

- Update the Nationwide Plan Review (NPR) Phase 1

- Develop the Program Evaluation Report as required in the 2007 Homeland Security Grant Program (HSGP) guidance for submission to the Governor
- Update the State Enhancement Plan

These three reports have been eliminated as separate requirements and have become one streamlined report. ***States will no longer be required to submit any of these previous requirements.*** Other reporting requirements – such as the Monitoring Report – may be integrated into the State Preparedness Report in future years, as appropriate, to further increase reporting efficiency.

DHS consolidated three previous State reporting submissions, which resulted in a single document: the **State Preparedness Report**

The State Preparedness Report does not replace the State Homeland Security Strategy; rather it is a companion document that reflects the implementation of the Strategy and identifies areas of improvement for incorporation. Ultimately, the State Preparedness Report will serve as the primary source for strategic information about each State's implementation of all-hazards preparedness programs, current levels of preparedness, and the future direction of its all-hazards preparedness efforts.

PLANNING FOR AND SUBMITTING THE REPORT

A. Engaging Stakeholders

The State Preparedness Report should be written from a statewide perspective, inclusive of Urban Area Security Initiative (UASI) grant recipients and regions throughout the State. Urban Areas will not be required to submit a separate report. Urban Areas are welcome to use this guidance to create an Urban Area Preparedness Report for internal use. State-level officials should collaborate with regions within the State – to the greatest extent feasible within the timeframe allotted – to develop a statewide report that reflects local-level interests, goals, and objectives in addition to State perspectives.

Engaging a diverse group of stakeholders in developing the State Preparedness Report ensures that it represents a collaborative, multi-disciplinary, and multi-jurisdictional approach to statewide preparedness. One example, noted in the figure below, is the Senior Advisory Committee (SAC) established as part of the HSGP planning process and embraced through Health and Human Services (HHS) cooperative agreements. Additional members may need to be added to existing working groups to get the diverse perspective needed to create the State Preparedness Report.

Who to Engage

To develop a statewide, all-hazards preparedness report, States are encouraged to involve a variety of preparedness-related communities, for example:

- State Administrative Agency (SAA)
- Homeland Security Advisor (HSA)
- Senior Advisory Committee (SAC)
- State and local emergency managers
- Public health and medical officials
- Urban areas
- Tribal partners
- Healthcare officials
- Hazardous materials personnel
- State Citizen Corps Program Manager
- Law enforcement
- Non-Governmental Organizations (NGO)
- Schools
- Career / Volunteer Emergency Medical Services (EMS)
- Career / Volunteer Fire Service
- Public safety communications
- Government administrative personnel
- Agriculture / Veterinary officials
- Information Technology (IT) personnel
- Public works
- State Office of Civil Rights
- Coast Guard
- National Guard
- Private sector and civilian groups
- Other pertinent disciplines
- Health department

B. Designation of the Report

Once received by DHS, the State Preparedness Report will be designated For Official Use Only (FOUO) and may be disseminated within DHS and among other appropriate parties as necessary in the conduct of official business. The State Preparedness Report may also be released to officials in other Federal departments and agencies of

the executive branch in performance of a valid government function. Distribution of the State Preparedness Report and approach will be accompanied by appropriate explanatory language.

C. State Preparedness Report Mock-Up

A State Preparedness Report Mock-Up will be made available to illustrate the State Preparedness Report Guidance. The mock-up is a notional document which serves as an example of how a State Preparedness Report might look and provides sample narratives and charts. The mock-up is not intended to be prescriptive. It will be made available on the Federal Emergency Management Agency (FEMA) Secure Portal (titled the Office of Domestic Preparedness [ODP] Secure Portal:

<https://odp.esportals.com/login.cfm>) shortly after release of the guidance.

D. Ongoing Support

States are strongly encouraged to collaborate with any and all appropriate Federal counterparts to include, but not limited to, FEMA Preparedness Officers, FEMA Regional Preparedness Officials, FEMA Regional Citizen Corps Program Managers, HHS Preparedness Officials, and DHS Protective Security Advisors. Preparedness Officers are available to answer questions and will be the primary contact in DHS for States when completing the State Preparedness Report. Preparedness Officers will not conduct reviews or assessments related to the State Preparedness Report, but can answer general questions or provide information on additional resources or submission requirements.

States can also contact the Centralized Scheduling and Information Desk (CSID) with questions at 1-800-368-6498 or askcsid@dhs.gov. CSID hours of operation are from 8:00 a.m. to 6:00 p.m. EST, Monday through Friday. CSID will do its best to answer questions or route the State to the appropriate personnel.

E. Technical Assistance

An electronic technical assistance tutorial is now available to guide States through modules on the State Preparedness Report, using examples to explain the guidance and mock-up documents. The electronic tutorial can be found on the FEMA Secure Portal.

F. Submission of the State Preparedness Report

States are required to develop the State Preparedness Report using the template provided with this guidance. The State Administrative Agency (SAA) must upload the final version of the State Preparedness Report no later than **5:00 p.m. EST on January 4, 2008**, to the FEMA Secure Portal as an attachment to each State-specific folder. Appendix G provides instructions on using the FEMA Secure Portal to submit the State Preparedness Report.

PART TWO: STATE PREPAREDNESS REPORT GUIDANCE

WRITING THE REPORT

Each State Preparedness Report must, at a minimum, contain four sections: Executive Summary, State Overview, Compliance, and Priorities.

- **Executive Summary:** Provides an overview of the main sections of the State Preparedness Report
- **State Overview:** Provides background on the State and a summary of the process the State used to collect feedback from stakeholders when creating the State Preparedness Report
- **Compliance:** Assesses the State's compliance with the national preparedness system, NIMS, NRF, and other related plans and strategies
- **Priorities:** Reports on the State's accomplishments, discusses current capabilities, provides three-year targets for capabilities, identifies Initiatives, and discusses monetary and non-monetary resources dedicated to each Priority

Items States can consider when writing their State Preparedness Report are noted in "Things to Consider" call-out boxes throughout the guidance. States do not have to address all items in these call-out boxes and have the flexibility to provide information in addition to the questions asked.

States will need to reference the appendices of this guidance document when developing their State Preparedness Report. A brief description of each appendix is provided in the list below:

- **Appendix A:** Provides definitions for terms used throughout the guidance
- **Appendix B:** Provides a list of acronyms
- **Appendix C:** Provides a list of relevant grant programs that States can reference when completing the resources section for each Priority
- **Appendix D:** Provides a list of data sources, organized by document section, which may be useful when developing the State Preparedness Report
- **Appendix E:** Provides a list of items the State can consider when completing the Current Capabilities sub-section in the Priorities section of the State Preparedness Report (Note: The items in this appendix are optional for National Priorities 1-7, but are required for National Priority 8)
- **Appendix F:** Provides a list of capabilities from the Target Capabilities List (TCL)
- **Appendix G:** Provides instructions on uploading the State Preparedness Report
- **Appendix H:** Provides specific instructions on how to address National Priority 1: Implement the NIMS and NRF in the "Priorities" section of the report

The remainder of this document provides an overview of what is required and what States should consider when drafting each section of the State Preparedness Report.

EXECUTIVE SUMMARY

The Executive Summary provides a brief overview of the State Preparedness Report. Within the Executive Summary, States should summarize information for stakeholders who may not need to review the State Preparedness Report in detail. States have the flexibility to determine the content, length, and format of the Executive Summary. The estimated page length is one to two pages.

STATE OVERVIEW

The State Overview provides background on the State and a summary of the process the State used to collect feedback from stakeholders when creating the State Preparedness Report. States have the flexibility to determine the content, length, and format of the State Overview within the following two sub-sections: **State Background** and **Stakeholder Input**.

- Within the State Background section, States should provide an overview of the State including topics with a direct impact on an overall homeland security approach, strategy, and/or areas of preparedness
- Within this section, States must provide a brief overview of the risks, hazards, and planning factors that cause them the most concern. This overview should be limited to one to three paragraphs
- Within the Stakeholder Input section, States should describe the process used for capturing stakeholder input into the State Preparedness Report

It is estimated that the State Overview section will be between three and four pages long.

State Background – Things to Consider
<ul style="list-style-type: none"> • What is the population of the State? • What are the major Urban Areas? • Which cities are designated under the Urban Area Security Initiative (Fiscal Year [FY] 2007)? • What transportation systems does the State have? • How has the State homeland security program partnered with major industries within the State? • Does the State have any key ports or international borders? • What hazards does the State face? • What office(s) within the State has primary responsibility for homeland security? • How are roles and responsibilities shared among State representatives, local representatives, the private sector, private non-profit organizations, and non-governmental organizations? • Is the State organized into sub-State homeland security regions?

Stakeholder Input – Things to Consider
<ul style="list-style-type: none"> • Which agencies/industries did the stakeholders represent? • What portion of stakeholders were from the State, regional or local

jurisdictions?

- What sort of development session(s) did the State hold when developing the report (e.g., working group, planning session)?
- How did the State make this document a statewide report?
- What accommodations/exceptions had to be made, in developing a statewide perspective, due to time constraints?

COMPLIANCE

PKEMRA mandates an assessment of State compliance with the national preparedness system, the National Incident Management System (NIMS), the National Response Framework (NRF), and other related plans and strategies. Given that many of these documents are under development or being updated, in year one, only ***NIMS compliance will be included in this section.***

The Incident Management Systems Division (IMSD) (formerly the National Integration Center [NIC]), a part of FEMA, provides NIMS Implementation Activities and a performance measurement “metric” system annually to assist with compliance determinations. The NIMS Implementation activities are divided into two “tiers:” Tier 1 activities are those considered critical for NIMS compliance and Tier 2 activities, which introduce concepts that may become Tier 1 activities in future years. In order to demonstrate compliance, States and Territories must affirmatively respond to all the performance metrics associated with Tier 1 activities.

IMSD provides and manages the NIMS Compliance Assistance Support Tool (NIMSCAST), a web based tool for monitoring, tracking and measuring NIMS implementation and compliance. IMSD will generate a summary report of each State’s responses to the FY 2007 NIMS Compliance Metrics as submitted in NIMSCAST. States can obtain a copy of this summary report from the FEMA Secure Portal.

States can copy and paste the NIMSCAST summary report directly into the State Preparedness Report to satisfy requirements for this section of the document. Preceding their NIMSCAST report, States should insert the following paragraph:

“Enclosed please find the NIMS Compliance Status Report for <Insert State Name>. This report reflects the State’s implementation of all required (“Tier 1”) activities and affirmative responses to the associated performance measurement metrics. Compliance determinations are based on the State’s ability to respond affirmatively to metrics associated with Tier 1 activities. Tier 2 activities represent possible future year activities and are not considered critical for current year compliance. Where appropriate, the State has referenced the Corrective Action Plan (CAP) to address weaknesses in implementation activities. Resolution of all CAPs must be provided to the FEMA Regional NIMS Point of Contact (POC) and to the Incident Management Systems Division (IMSD) by January 28, 2008.”

After importing the NIMSCAST summary report, States may provide further narrative to provide context for the data. In this narrative, States may validate or explain modifications required to update the NIMSCAST summary report. States may also supplement the information provided in the NIMSCAST summary report in subsequent sections of the State Preparedness Report, specifically when addressing National Priority 1– Implement the NIMS and the NRF.

States electing to use independently developed NIMS technical assistance and compliance tools, as opposed to utilizing the NIMSCAST system, must submit a similar report in the Compliance section of the State Preparedness Report, provided that it is compatible with the assessment and metrics report contained in NIMSCAST.

Instructions for States that do not Participate in NIMSCAST

States that do not participate in NIMSCAST or use an independently developed NIMS compliance tool must provide 1-2 pages of narrative in the Compliance section of the State Preparedness Report. Within this section, States must address the following:

- What has the State/Territory done to be compliant with NIMS per HSPD-5?
- Discuss how the State/Territory met the requirements outlined in the FY 2007 NIMS Implementation Activities Schedule.

Please note: Under NIMS compliance guidance provided by IMSD, States and Territories unable to implement Tier 1 activities and respond affirmatively to the associated metrics within NIMSCAST by September 30, 2007 may submit a Corrective Action Plan (CAP) to FEMA Regional NIMS Points-of-Contact and IMSD. The CAP allows up to 120 days (January 28, 2008) to achieve compliance for the pertinent Tier 1 requirements. For purposes of the State Preparedness Report, CAPs must be referenced in the NIMSCAST summary or in a similar NIMS technical assistance and compliance tool. Furthermore, States should provide their plans to address CAPs in the Initiatives section for National Priority 1: Implement the NIMS and the NRF.

For more information on NIMS Compliance please visit the IMSD NIMS Compliance web site at http://www.fema.gov/emergency/nims/nims_compliance.shtml.

It is estimated that the Compliance section will be between one and two pages long.

PRIORITIES

The Priorities section constitutes the majority of the State Preparedness Report. In this section, States will report on the following topics for each Priority: Accomplishments, Current Capabilities, Three-Year Targets, Initiatives, and Resources.

States are required to report on each of the eight National Priorities as identified in the NPG⁹. States also may report on their own unique State Priorities, using the same five topic areas.

National Priorities

1. Implement the National Incident Management System (NIMS) and the National Response Framework (NRF)¹⁰
2. Expand Regional Collaboration
3. Implement the National Infrastructure Protection Plan (NIPP)
4. Strengthen Information Sharing and Collaboration Capabilities
5. Strengthen Interoperable and Operable Communications Capabilities
6. Strengthen Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE) Detection, Response, and Decontamination Capabilities
7. Strengthen Medical Surge and Mass Prophylaxis Capabilities
8. Strengthen Planning and Citizen Preparedness Capabilities

States may also highlight other capabilities which support the goals identified in the State’s Homeland Security Strategy, as appropriate.

In completing the State Preparedness Report, each National and State Priority will be addressed through the following five sections:

Figure 2: Priority Report Sections



All sections, with the exception of Accomplishments, are required. However, States are strongly encouraged to highlight the accomplishments of their homeland security program within this section.

⁹ National Preparedness Guidelines: <http://www.fema.gov/pdf/government/npg.pdf> (September 13, 2007)

¹⁰ Please see Appendix H for special instructions on completing the Priorities discussion of National Priority 1: Implement the NIMS and the NRF.

A. Accomplishments



The optional Accomplishments section provides background information on the State's efforts related to the Priority emphasizing accomplishments between October 1, 2006 and September 30, 2007. States have the option to provide additional information on accomplishments from October 1, 2003 to September 30, 2006, if desired.

States have the flexibility to determine the content, length, and format of the Accomplishments section. "Things to Consider" for the Accomplishments section are provided below.

Accomplishments – Things to Consider
<ul style="list-style-type: none">• Overall methodologies, approaches, or policies supporting the National or State Priority• Specific governance structures• Descriptions of the relative importance of the Priority, as compared to other National and State Priorities• Narrative descriptions of accomplishments that have positively impacted preparedness related to the National Priority

It is estimated that the length of the Accomplishments section will be between one to two pages.

B. Current Capabilities



This section describes the current level of capability available to prevent, protect, respond, or recover from large-scale incidents. This section of the report should contain an informed and accurate narrative illustration of current levels of capability. States are encouraged to reference any current and relevant information generated from previous assessment type efforts such as, but not limited to, the documents listed below:

A **capability** provides the means to accomplish a mission or function resulting from the performance of one or more critical tasks, under specified conditions, to target levels of performance. A capability may be delivered with any combination of properly planned, organized, equipped, trained, and exercised personnel that achieves the desired outcome.

- Program and Capability Review (2005-2006)
- Nationwide Plan Review (NPR)
- Tactical Interoperable Communications Plans (TICP) Scorecard
- Homeland Security Grant Program Monitoring Reports
- State Homeland Security Assessment and Strategy (SHSAS) process
- Statewide Communications Interoperability Plans (SCIP)

As the actual ability of a State to provide a capability is dependent on specific hazards and other factors, States must assume a certain level of uncertainty when assessing their capabilities. For each Priority, the State should report on the level of capability as of September 30, 2007.

States should use and may supplement relevant metrics from the TCL when describing current capabilities.

Capabilities are aligned to National Priorities 4-8. As National Priorities 1-3 do not have associated capabilities, States must report on “other factors” that address those Priorities. The associated capabilities and other factors for each National Priority are listed in the table below:

Figure 3: National Priorities

National Priority	Capability or Other Factor
Implement the NIMS and NRF	<ul style="list-style-type: none"> • National Incident Management System (NIMS)/NIMS Compliance Assistance Support Tool (NIMSCAST)

National Priority	Capability or Other Factor
Enhanced Regional Collaboration	<ul style="list-style-type: none"> • Inter-State Regional Collaboration ^(a) • Intra-State Regional Collaboration ^(a)
Implement the NIPP	<ul style="list-style-type: none"> • Critical Infrastructure Protection Program
Strengthen Information Sharing and Collaboration Capabilities	<ul style="list-style-type: none"> • Intelligence and Information Sharing and Dissemination Capability • Counter-Terror Investigations and Law Enforcement Capability
Strengthen Interoperable and Operable Communications Capabilities	<ul style="list-style-type: none"> • Communications Capability • Emergency Public Information and Warning Capability
Strengthen CBRNE Detection, Response, and Decontamination Capabilities	<ul style="list-style-type: none"> • CBRNE Detection Capability • Explosive Device Response Operations Capability • WMD/Hazardous Materials Response and Decontamination Capability
Strengthen Medical Surge and Mass Prophylaxis Capabilities	<ul style="list-style-type: none"> • Mass Prophylaxis Capability • Medical Surge Capability
Strengthen Planning and Citizen Preparedness Capabilities	<ul style="list-style-type: none"> • Planning Capability • Citizen Evacuation and Shelter-in-Place Capability • Mass Care (Sheltering, Feeding, and Related Services) Capability • Community Preparedness and Participation Capability • Continuity of Operations / Continuity of Government Capability ^(b) • Critical Resource Logistics and Distribution Capability ^(b)
<p>Note: All capabilities listed above are associated with the respective National Priority as identified in the NPG unless noted below:</p> <p>(a) Denote “other factors” that correspond to the three National Priorities that cover multiple capabilities as noted in the NPG</p> <p>(b) Denote capabilities from the TCL that are not normally associated with <i>National Priority 8: Strengthen Planning and Citizen Preparedness Capabilities</i> (per the NPG). However, as a result of consolidating the update to the Nationwide Plan Review, States must address these capabilities in the State Preparedness Report</p>	

DHS recognizes that capabilities and other factors may not encompass all aspects of a State’s all-hazards approach to preparedness. If necessary, States are strongly encouraged to provide a description of additional factors representative of preparedness programs deemed essential to achieving the National or State Priority for the State.

In order to complete this section, States must reference Appendix E of this document. Appendix E provides both optional and required questions and prompts to be addressed for each capability and factor.

It is estimated that the length of the Current Capabilities section will be between one and two pages per capability or other factor.

C. Three-Year Targets



This section identifies objectives that the State plans to achieve within the next three years. These Three-Year Targets should be statewide and inclusive of regional and local government concerns. These targets should build upon the current levels of capability and will be used to measure progress in future years. In this section, States should identify, describe, and categorize capability targets that are **SMART**:

Three-Year Targets are not end-state indicators for capabilities or Priorities, nor are they activities required to sustain current levels of capability – these targets should represent outcomes the State plans to achieve within the next three years

- **S**pecific
- **M**easurable
- **A**ttainable
- **R**elevant
- **T**ime-bound

States should provide targets for each capability and factor discussed in the Current Capabilities section. Each target should include a description, the projected completion year, and status as illustrated in the figure below:

Figure 4: Template for Three-Year Targets

Target Description	Projected Completion Year	Status
Three or four sentence description of the desired performance outcome.	This column will read ‘2010’ for all targets developed for the first State Preparedness Report. In future years, this column will contain existing and new targets with different end dates.	In year one, all targets should be designated as “open.” In future years, the status column will track progress towards completion. Each “target” will be designated as “open” or “closed”. Progress towards accomplishing “open” targets will be recorded in percentage terms.

It is estimated that the length of the Three-Year Targets section will be between one to two pages per Priority.

D. Initiatives



The Initiatives section describes how the State plans to meet the Three-Year Targets identified in the previous section. States should base this section on their most recent Enhancement Plan. Additional Initiatives should be included to capture new or emerging Priorities and to reflect all of the Three-Year Targets. As with the Initiatives in the Enhancement Plan, each Initiative should include a(n):

- **Initiative Description** – including how this Initiative addresses the targets outlined in the previous section and how the State will be more prepared as a result of implementing all the targets
- **Geographic Scope** – outlining the geographic scope of this Initiative
- **Program Management** – describing what programs, policies, cooperative agreements and other processes are in place to help the State meet these targets

Initiatives are...

- Programmatic in nature
- Aligned to State homeland security strategies
- Multi-year statewide efforts
- Supported by multiple funding sources
- Comprised of multiple investments implemented strategically over time

States will no longer need to create or submit an Enhancement Plan, as all Initiatives will now be included in the State Preparedness Report. It is estimated that the length of the Initiatives section will be between two to four pages per Priority.

E. Resources



The Resources section discusses both monetary and non-monetary resources the State has previously expended and will spend for each Priority. Specifically, within this section, States must address:

- Monetary and Non-Monetary resources expended in Fiscal Year (FY) 2007 (October 1, 2006 – September 30, 2007)
- An estimated amount of expenditures (monetary) required to attain the preparedness Priorities in future years (October 1, 2007 through September 30, 2010).

It is estimated that the Resources section will be two pages long for each Priority.

Resources Expended in FY 2007

This section describes, in narrative form, the monetary and non-monetary resources that contributed to strengthening Priorities from October 1, 2006 – September 30, 2007.

Resources Expended in FY 2007—Things to Consider
<ul style="list-style-type: none"> • The term <i>monetary resources</i> comprises direct and indirect costs associated with a Priority to include, but not limited to; equipment purchases, vendor contracts, training, exercises, facilities management, human capital, and other relevant factors • The narrative description must be as inclusive as possible of all Federal and State funding used for achieving each National or State Priority. (Note: For potential sources, see the list of grant programs in Appendix C). Urban Area and other local input should also be included to the extent possible • Federal assistance is <i>not</i> required to be broken out by grant source • The narrative description of resources expended should, at minimum, describe the inclusion of funding sources, any double counting of funds, and departures from timeframes, if applicable • Monetary resources spent prior to October 1, 2006, may also be reported; States have the option to provide all monies expended from October 1, 2003, to September 30, 2006, if this would be valuable • DHS recognizes not all State fiscal cycles align to the Federal fiscal cycle. To the extent possible, illustrate expenditures within the dates outlined and provide an explanation of any departures from this guidance

Resources Expended in FY 2007—Things to Consider

Non-Monetary Resources may be, but are not limited to, the following:

- Federal program support (e.g., Training, Technical Assistance, Top Officials Exercise (TOPOFF), other large Federally or independently conducted exercise)
- In-kind resources
- Non-governmental support (e.g., donations, citizen volunteers, civic organizations)

Future Resources Required

For each Priority, provide an aggregate estimated dollar figure required to achieve the increased levels of preparedness over the next three years¹¹, October 1, 2007 through September 30, 2010. When calculating this estimated dollar figure, consider the resources required to sustain current levels of capability, the three-year targets, and all applicable Initiatives intended to achieve the targets.

Future Resources Required—Things to Consider

- The aggregate estimate dollar figure should include all Federal, State, Urban Area and local funds contributing to increased preparedness (see Appendix C for examples). States are encouraged to reference the HSGP Guidance¹² and historical (baseline) budget information when projecting future funding needs to ensure estimates are reasonable
- Provide an approximate percentage of each Priority’s aggregate dollar estimate, relative to the State’s overall homeland security operating budget. Regardless of whether a State has chosen to create additional Priorities, the sum total of all percentages should be 100% of the State’s homeland security operating budget
- Please note that these are three-year projected estimates within a report that is required to be updated annually. As such, these three-year projections should be considered an illustrative element of strategic vision and direction and should not be considered precise figures used for funding requests

¹¹ National Priority 1 – Implement the NIMS and NRF – requires that forecasts be made only a year in advance

¹² For planning purposes, applicants should consider, as an example, the future funding planning process as described in the FY 2007 HSGP Guidance for States, Territories, and Urban Areas

SUMMARY

In summary, the State Preparedness Report will contain four sections: Executive Summary, State Overview, Compliance, and Priorities. Each section provides States with an opportunity to highlight different elements of their statewide preparedness program:

- The **Executive Summary** provides an overview of the main sections of the State Preparedness Report
- The **State Overview** provides a background on the State and a summary of the process the State used to collect feedback from stakeholders when developing the document
- The **Compliance** section assesses the State's compliance with the national preparedness system, NIMS, NRF, and other related plans and strategies
- The **Priorities** section reports on the State's accomplishments, assesses the State's capabilities, provides three-year targets for capabilities, identifies Initiatives, and discusses monetary and non-monetary resources

States should reference the appendices of this guidance document when writing the State Preparedness Report for definitions, acronyms, items to address during the current capabilities, and other relevant information. States are encouraged to reach out to their Preparedness Officers with any questions as they are developing their State Preparedness Report.

Once complete, the State Preparedness Report will be the primary report for providing strategic-level information about a State's all-hazards preparedness programs and current levels of preparedness to State, Congress, and other Federal audiences.

APPENDIX

APPENDIX A: TERMS AND DEFINITIONS

Definitions	
Term	Definition
Accomplishments	Recent activities, events, or changes in policy, that have positively impacted preparedness as it relates to the Priority, for example: performance during real or exercised events, outcomes of new preparedness programs or policies, or preparedness-related undertakings such as development of new policy
Capability	A capability provides the means to accomplish a mission or function resulting from the performance of one or more critical tasks, under specified conditions, to target levels of performance. A capability may be delivered with any combination of properly planned, organized, equipped, trained, and exercised personnel that achieves the desired outcome
Enhancement Plan	A comprehensive, statewide management plan for enhancing State homeland security programs and capabilities to align with the National Preparedness Guidelines and to achieve the goals and objectives from the State Homeland Security Strategy
Human capital	New staff or vendor support dedicated to this Priority area above and beyond first responders. These are people that are specific program managers for creating policies or managing operations or Investments within this Priority
Initiative	The statewide, cross-jurisdictional aggregation, at the programmatic level, of related projects geared towards achieving a common State Homeland Security goal/objective, Priority, and/or Target Capability. An Initiative may be comprised of investments and projects that span one or more capabilities
Investment (referring to Investment Justification Investment)	The targeted application of FY 2007 HSGP funding, at the operational level, towards the achievement of one or more Initiatives identified in the Enhancement Plan The term “areas of investment” is used in the guidance when referencing the term investment generically, and is not tied to the Investment Justification process
Investment Justification	The HSGP grant application by which the States, Territories, and Urban Areas requested HSGP funding
Monetary resources	All awarded and expended grant monies and non-Federal general monies (operating monies). General monies include State resources, obligations, and private funding
Non-monetary resources	Federally or privately supported resources through non direct funds such as TOPOFF, Technical Assistance, donations of equipment
Planned expenditures	The products, services, and/or activities on which funding will be spent
Program Evaluation Report	A report intended for each State Governor, which is a requirement in the FY 2007 HSGP guidance
Resources	Historical expenditures, which include both monetary and non-monetary resources, and future funds that have been budgeted

Definitions	
Term	Definition
State Homeland Security Strategies	Provide State-specific blueprints for comprehensive, enterprise-wide planning for homeland security efforts. Provide a strategic plan for the use of related Federal, State, local, and private resources within the State and/or Urban Area before, during, and after threatened or actual domestic terrorist attacks, major disasters, and other emergencies
Strategic goal	As identified in the State or Urban Area Homeland Security Strategies, a strategic goal is a target that the State or Urban Area wants to achieve regarding an improved level of capability. These goals will help the State or Urban Area achieve its vision, focus on the long-term, and increase its preparedness
Strategic objective	As identified in the State or Urban Area Homeland Security Strategies, a strategic objective is a specific statement of desired achievement that supports a strategic goal, and sets a target level of performance over time expressed as a tangible, measurable objective, against which actual achievement can be compared
Statewide	Inclusive of everything resident within the State. Representative of all cities, towns, jurisdictions, and of Urban Areas Security Initiative (UASI) cities and other regions
State-level	Only representative of the State government. For example, organizations, personnel, policies, and procedures at the State government level versus the Federal government level
Three Year Capability Targets	Discrete outcomes that the State would like to achieve within a three-year timeframe to build specific aspects of either the associated capabilities or the other factors that comprise the National or State Priority

APPENDIX B: ACRONYMS

Acronyms	
Acronym	Definition
CBRNE	Chemical, Biological, Radiological, Nuclear, and Explosive
CDC	Centers for Disease Control and Prevention
CI/KR	Critical Infrastructure and Key Resources
CSID	Centralized Scheduling and Information Desk
DHS	Department of Homeland Security
EMS	Emergency Medical Services
EOP	Emergency Operations Plan
FEMA	Federal Emergency Management Agency
FOUO	For Official Use Only
FY	Fiscal Year
HRSA	Health Resources and Services Administration
HSA	Homeland Security Advisor
HSGP	Homeland Security Grant Program
IMSD (previously the NIC)	Incident Management Systems Division
IT	Information Technology
NGO	Non Governmental Organization
NIC	National Integration Center
NIMS	National Incident Management System
NIMSCAST	NIMS Compliance Assistance Support Tool
NIPP	National Infrastructure Protection Plan
NPR	Nationwide Plan Review
NPS	National Preparedness System
NPD	National Preparedness Directorate, FEMA
NPG	National Preparedness Guidelines (formally the Goal)
NRF (previously NRP)	National Response Framework
PCR	Program and Capability Review
PKEMRA	Post Katrina Emergency Management Reform Act of 2006
PO	Preparedness Officer
SAA	State Administrative Agency
TA	Technical Assistance
TCL	Target Capabilities List
TOPOFF	Top Officials Exercise
UASI	Urban Area Security Initiative

APPENDIX C: RELEVANT GRANT PROGRAMS

States can use this list of relevant grant programs as a starting point for portraying the full breadth of their preparedness programs through the State Preparedness Report. This list also may be useful in reporting on monetary resources that contributed to strengthening National and State Priorities.

- Direct Federal assistance via DHS grants include:
 - DHS Homeland Security Grant Program (HSGP)
 - DHS Buffer Zone Protection Program (BZPP)
 - DHS Chemical Buffer Zone Protection Program (CBZPP)
 - DHS Assistance to Firefighters Grant (AFG) Program
 - DHS Transit Security Grant Program (TSGP)
 - DHS Port Security Grant Program (PSGP)
 - DHS Intercity Bus Security Grant Program (IBSGP)
 - DHS Trucking Security Program (TSP)
 - DHS/Office of Infrastructure Protection (OIP) Chemical Stockpile Emergency Preparedness Program (CSEPP)
- Direct Federal assistance via FEMA grants include:
 - FEMA Hazard Mitigation Grants
 - FEMA Interoperable Communication Grants
- Direct Federal assistance via HHS grants include:
 - HHS/Centers for Disease Control and Prevention (CDC) Public Health Emergency Preparedness (PHEP) Program
 - HHS/CDC Pandemic Influenza Guidance Supplement to the 2006 Public Health Emergency Preparedness Cooperative Agreement Phase II
 - HHS/Office of the Assistant Secretary for Preparedness and Response (ASPR) Bioterrorism Training and Curriculum Development Program (BTCDP)
 - HHS/ASPR Hospital Preparedness Program (formerly the National bioterrorism Hospital Preparedness Program)
 - HHS/ASPR Emergency Systems for Advance Registration of Volunteer Health Professionals (ESAR-VHP)
 - HHS/Food and Drug Administration (FDA) Office of Regulatory Affairs Food Safety and Security Monitoring Project-Radiological Health Cooperative Agreement (FERN)
 - HHS/ASPR Healthcare Facilities Partnership Program
- Direct Federal assistance via DOT grants
 - DOT/Pipeline and Hazardous Materials Safety Administration (PHMSA) Hazardous Materials Emergency Preparedness Grant Program (HMEP)
- Direct Federal assistance via DOJ grants
 - DOJ/Bureau of Justice Assistance (BJA) Edward Byrne Justice Assistance Grant (JAG) Program
 - DOJ/BJA State and Local Anti-Terrorism Training Program (SLATT)
- Direct Federal assistance via EPA grants
 - EPA/Water Security Division (WSD) Water Protection Grants to States

APPENDIX D: AVAILABLE DATA

The following list incorporates a sampling of websites that can be leveraged for reference purposes when creating the State Preparedness Report:

- HSPD-8 Overview: <http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm>
- HSPD-5: <http://www.whitehouse.gov/news/releases/2003/02/20030228-9.html>
- HSGP: http://www.ojp.usdoj.gov/odp/grants_hsgp.htm
- National Preparedness Guidelines:
http://www.dhs.gov/xlibrary/assets/National_Preparedness_Guidelines.pdf
- Target Capabilities List: <http://www.llis.gov>
- State Homeland Security Strategies:
http://www.ojp.usdoj.gov/odp/docs/StrategyGuidance_22JUL2005.pdf
- NIMSCAST: <http://www.fema.gov/emergency/nims/index.shtm>
- NIPP Overview of 17 sectors:
http://www.dhs.gov/xlibrary/assets/NIPP_SectorOverview.pdf
- NIPP Sector Specific Plans:
http://www.dhs.gov/xprevprot/programs/gc_1179866197607.shtm
- NIPP training course: <http://www.training.fema.gov/emiweb/IS/is860.asp>
- PCII Homepage: <http://www.dhs.gov/pcii>
- NIPP Homepage: <http://www.dhs.gov/nipp>
- Critical Infrastructure/Key Resource (CI/KR) Information:
http://www.dhs.gov/xprevprot/programs/editorial_0211.shtm
- Interoperable Communications Resources:
<http://www.safecomprogram.gov/SAFECOME/grant/default.htm>
- Exercises: <http://www.ojp.usdoj.gov/odp/exercises.htm>

DHS has provided States with several reports that have been previously submitted that contain data which is directly relevant to completing the State Preparedness Report. The list below is not an exhaustive inventory of data that is available to States and that may be useful in developing the State Preparedness Report. Where possible, State-specific files below are located on FEMA Secure Portal (titled the Office of Domestic Preparedness [ODP] Secure Portal): <https://odp.esportals.com/login.cfm>.

Description	Applicability
National Incident Management System (NIMS) Compliance Assistance Support Tool; (NIMSCAST) Results	National Priority 1
Federal guidance related to regional collaboration via these programs: <ul style="list-style-type: none"> – Hurricane task force – Seismic Zone – Fusion Center TA 	National Priority 2
I&A Fusion Center Assessments	National Priority 4
Fusion Process TA Requests and After Action Reports	National Priority 4

Description	Applicability
Federal Fusion Survey Results	National Priority 4
Fusion Center Funding Reports (GRT)	National Priority 4
Tactical Interoperable Communications Plans Scorecard (TICP)	National Priority 5
SAFECOM Baseline Survey	National Priority 5
Statewide Communications Interoperability Plan	National Priority 5
Communication Assets Survey and Mapping Tool (CASM)	National Priority 5
Homeland Security Exercise and Evaluation Program (HSEEP)	National Priority 6
Area Maritime Security Plan	National Priority 6
Hazard Mitigation Plans	National Priorities 6, 8
CDC/Health Resources and Services Administration (HRSA) Cooperative Agreements	National Priority 2, 4, 5, 6, 7, 8
Joint Commission on Accreditation of Healthcare Organizations (JCAHO)	National Priority 7 (as applicable)
Nationwide Plan Review	National Priority 8
Homeland Security Strategy	Global
Results of Current Capabilities Assessments (as available)	Global
Grants Reporting Tool (GRT) data to include Bi-Annual Strategy Implementation Report (BSIR)	Global
Investment Justifications	Global
Enhancement Plan	Global

In addition to the resources available in the Secure Portal, the pilot version of a Capabilities Assessment tool is available for States interested in updating capability reviews or assessments. Contact Donald Lumpkins, Program Manager, DHS at Donald.Lumpkins@dhs.gov to learn more about the Capabilities Assessment tool. Additionally, the Target Capabilities List (TCL) and the Capabilities Assessment will be made available nationwide in future years as components of the National Preparedness System (NPS), which is currently under development, are released. The intent of the NPS will be to help States assess current capabilities levels and resource needs to meet the preparedness Priorities. The Program and Capability Review (PCR) that States completed in 2005 is also a valid source of information for assessing capabilities.

APPENDIX E: ITEMS TO ADDRESS IN THE CURRENT CAPABILITIES

This appendix provides instructions and prompts for completing the Current Capabilities for each Priority. For each National Priority, the sections that follow contain bulleted items that introduce topics for inclusion in the State’s description of Current Capabilities. Optional questions and prompts are provided for National Priorities 1 through 7. States, however, must address all questions and prompts identified for National Priority 8 when developing their respective State Preparedness Report. Responses to the questions and prompts for National Priority 8 are required as they are associated with a pre-existing requirement that has been integrated with the State Preparedness Report. As a result, States will only have to respond to these questions and prompts in this report.

National Priority 1: Implement National Incident Management System (NIMS) and the National Response Framework (NRF)

Associated Factor: NIMS/NIMSCAST

- Describe what the State has done to support implementation of NIMS and NIMCAST.
- Provide any contextual information to support the NIMCAST worksheet referenced in the Compliance section.

National Priority 2: Expand Regional Collaboration

Please note: The questions in this section are based on questions in the Monitoring Report. States should leverage their Monitoring Report responses when developing responses for the National Priority 2 Current Capabilities section.

Associated Factor: Inter-State Regional Collaboration

- Describe inter-state regional collaboration, including formalized inter-state mutual aid agreements.

Associated Factor: Intra-State Regional Collaboration

- Describe intra-state regional collaboration, including governance structures, committees, and partnerships; regional coordination of expenditures; formalized mutual aid agreements; and exercises testing mutual aid agreements.

National Priority 3: Implement the National Infrastructure Protection Plan (NIPP)

Associated Factor: Critical Infrastructure Protection Program

- In accordance with the risk management framework (RMF) identified in the NIPP and benchmarks identified in the FY 2006 and 2007 HSGP Grant Guidance, does the State have a critical infrastructure and key resource (CI/KR) protection program as a component of their overarching homeland security program? If so, please describe how the program supports the RMF identified in the NIPP according to the following six areas of the RMF.
 - **Set Security Goals.** How has the program been structured to define specific outcomes, conditions, end points, or performance targets that collectively constitute an effective protective posture? Please include any information about the program’s governance structure, participating

- entities/stakeholders, advisory groups, or other partnerships at the Federal, State, and local levels, and public/private sector outreach activities.
- **Identify Assets, Systems, Networks, and Functions.** Describe how the program conducts an inventory of the assets, systems, and networks, including any Information Technology (IT) and Geographic Information Systems (GIS) tools, databases, and/or systems that support the collection, storage, and/or management of this information.
 - **Assess Risks.** Describe how the program determines and/or assesses risk, as a function of consequences, vulnerabilities, and threats. Please include information on the processes, tools, and/or methodologies used to conduct risk assessments, or any partnerships that support these efforts (i.e., fusion centers and PSAs).
 - **Prioritize.** Describe what processes, programs, and/or tools are leveraged by the program to aggregate and analyze risk assessment results, establish priorities based on risk, and determine protection and business continuity initiatives that provide the greatest mitigation of risk.
 - **Implement Protective Programs.** Describe how the program reduces and/or manages identified risks through the implementation of protective programs. Please include how the program identifies and obtains resources (both Federal and non-Federal) to address priorities and how the protective programs are coordinated with other Federal, State, and local partners (i.e., Fusion Centers, PSAs, RTSWGs, AMSCs, etc).
 - **Measure Effectiveness.** How does the program use metrics and other evaluation procedures to measure progress and assess the effectiveness of the CI/KR protection efforts in improving protection, managing risk, and increasing resiliency?
- Describe what the State has done to pursue PCII accreditation to enable State government and attending local government agencies to access PCII. Accreditation activities may include signing an MOA with DHS, appointing a PCII Officer, training potential and current PCII users, and implementing a self-inspection.

National Priority 4: Strengthen Information Sharing and Collaboration Capabilities

- Associated Capability: Intelligence and Information Sharing and Dissemination**
- Describe where your State is with establishing a fusion process/center to gather, analyze, disseminate, and use terrorism information, homeland security information, and law enforcement information relating to terrorism.
 - Discuss how does this statewide fusion process/center supports the implementation of the Global Justice / Homeland Security Advisory Council (HSAC) Fusion Center Guidelines, the Information Sharing Environment Implementation Plan prepared by the Program Manager, and the Information Sharing Environment (November 2006).
 - Describe the baseline level of capability for the statewide fusion center as defined by the Fusion Capability Planning Tool located at http://www.ojp.usdoj.gov/odp/grants_hsgp.htm.
 - Describe how your statewide fusion process/center accesses the DHS Homeland Security Information Network (HSIN), DOJ Law Enforcement Information Sharing Program, FBI JTTFs and FIGs, and ATACs.
 - Discuss the statewide fusion process/center in terms of supporting achievement of tasks associated with each of the four fusion related target capability levels (Information Gathering and Recognition of Indicators and Warnings, Intelligence Analysis and Production, Intelligence/Information Sharing and Dissemination, and Law Enforcement Investigation and Operations).
- Associated Capability: Counter-Terror Investigations and Law Enforcement**
- Reference the Target Capabilities List when describing your current level of capability. Specifically, consider the following information for the capability: Capability Description, Outcomes, Critical Tasks, and Performance Measures and Objectives.*

National Priority 5: Strengthen Interoperable and Operable Communications Capabilities

Associated Capability: Communications Capability

- Address current capabilities for interoperable communications, the target capabilities identified in the SCIP, and the migration plan to achieve those target capabilities. Indicate the desired end-point in each of the SAFECOM Continuum lanes and its percent of achievement toward those end-points. Specify the intended use of PSIC, HSGP, and ICTAP assistance.

Associated Capability: Emergency Public Information and Warning

- *Reference the Target Capabilities List when describing your current level of capability. Specifically, consider the following information for the capability: Capability Description, Outcomes, Critical Tasks, and Performance Measures and Objectives.*

National Priority 6: Strengthen CBRNE Detection, Response, and Decontamination Capabilities

Associated Capability: CBRNE Detection

- What State and local preventative radiological and nuclear detection programs are planned or currently deployed within your State? This can include:
 - Maritime Programs
 - Commercial Vehicle Inspection
 - Special Event Screening
 - Routine Patrols/Monitoring
 - Radiation Portal Monitoring—Fixed and Relocatable
- What resources are planned or currently located in your State for technical support in identifying radiological and nuclear materials as a part of detection operations?
- Do you have relationships with any Department of Energy laboratories to adjudicate radiation alarms?

Associated Capability: Explosive Device Response Operations

Reference the Target Capabilities List when describing your current level of capability. Specifically, consider the following information for the capability: Capability Description, Outcomes, Critical Tasks, and Performance Measures and Objectives.

Associated Capability: WMD/Hazardous Materials Response and Decontamination

Reference the Target Capabilities List when describing your current level of capability. Specifically, consider the following information for the capability: Capability Description, Outcomes, Critical Tasks, and Performance Measures and Objectives.

National Priority 7: Strengthen Medical Surge and Mass Prophylaxis Capabilities

Associated Capability: Mass Prophylaxis

- Describe your Mass Prophylaxis plans for the general distribution of mass prophylaxis and distribution sites. As of today, what can you mass prophylaxis against without the help of Strategic National Stockpiles?

Associated Capability: Medical Surge

- Describe how you strengthened your Medical Surge capabilities, including a discussion of surge staff identified and whether or not they have been trained on either Mass Prophylaxis stockpiles or medical

surge events. Describe accomplishments in this capability referencing any exercises that have been conducted since 2003.

National Priority 8: Strengthen Planning and Citizen Preparedness Capabilities

Please Note: The questions in this section are based on the capabilities under the newly established Priority 8, which responds to the needs identified in the Federal Response to Hurricane Katrina: Lessons Learned report and the findings of the 2005 Nationwide Plan Review. Responses submitted as part of the Priority 8 response will aid in updating information collected during the 2005 Nationwide Plan Review and will guide future planning activities. Responses to all questions and prompts in this section are required.

Associated Capability: Planning

The planning capability ensures the ability to prevent, protect against, respond to, and recover from acts of terrorism, natural disasters, and other emergencies. The planning process and the resultant plans incorporate an accurate hazard analysis and risk assessment, and coordinate agreements in support of plans. Specifically, jurisdictions should develop and maintain plans for Homeland Security preparedness including scenario-based strategic, operational, and tactical plans, emergency operations plans, recovery plans, mitigation plans, and continuity plans. Additionally, jurisdictions must develop and execute mutual aid assistance agreements. Finally, there must be trained and equipped planners available to execute the planning requirements. With these expectations in mind, States should consider the following issues and possible impediments to success when assessing current levels of capability:

- Are the plans adequate? [Note: A plan is considered adequate when it complies with applicable guidance, the planning assumptions are valid, and the concept of operations identifies and addresses critical tasks effectively.]
- Are the plans feasible? [Note: A plan is considered feasible if critical tasks can be accomplished with resources available internally or through mutual aid; immediate needs for additional resources through non-governmental organizations, State and/or Federal assistance are identified in detail and coordinated in advance; and procedures describe how to integrate and employ resources from all potential sources.]
- Are the plans acceptable? [Note: A plan is considered acceptable if it can meet the requirements of a large-scale or catastrophic event, if it can be implemented within costs and timeframes that senior officials and the public can support, and it is consistent with the law.]

Associated Factor: Continuity of Operations / Continuity of Government

Evaluate existing formal plans. The discussion should include how the State supports:

- COOP Program Management Roles and Responsibilities
- Essential Functions and Supporting Dependencies
- Supporting Personnel, Vital Records, Equipment, Supplies, and Vendors
- COOP Employee Roster
- Hazard and Vulnerability Assessment
- Orders of Succession
- Delegation of Authority
- Alternate Facilities
- Interoperable Communications
- Devolution of Direction and Control
- Vital Records

Associated Capability: Citizen Evacuation and Shelter-in-Place

Evaluate existing formal plans. The discussion should include how the State supports:

- Formally identified high-hazard areas with a greater likelihood of mass evacuation
- Designated primary and alternate evacuation routes for major Urban Areas
- Formal time periods for implementing mass evacuation plans
- Mass care facilities designated in relation to evacuation routes
- Designated public transportation resources
- Schedule of planned exercises to test mass evacuation plans, to include the participation of the public and the media
- To include timely and effective public alerts and warning
- To provide targeted support for populations that may be unable or unwilling to take independent effective protective action without additional assistance
- Actions being taken to ensure that evacuation planning is mutually supportive among contiguous jurisdictions and States, uses all available transportation modes (ground, rail, air, and sea) and resources, identifies routes of egress/ingress, and identifies destinations and shelter options for displacement populations

Associated Capability: Mass Care (Sheltering, Feeding, and Related Services)

Evaluate existing formal plans. The discussion should include how the State supports:

- Addresses animal care and control including proper identification, evacuation, and sheltering
- Thoroughly describes conditions under which mass care services will be provided and methods to activate and manage facilities
- Thoroughly describes procedures for reporting the number of people staying at facilities, status of supplies, conditions at facilities and requests for specific types of support
- Thoroughly outlines processes to maintain a patient tracking system
- Describes procedures for licensing of out-of-State medical personnel to facilitate their rapid employment to the extent permitted under law
- Clearly provides for the collection, identification and care of human remains, determining the cause of death, inventorying personal effects and locating/notifying next of kin

Associated Capability: Critical Resource Logistics and Distribution

Evaluate existing formal plans. The discussion should include how the State supports:

- Thoroughly describes the means, organization and processes by which a jurisdiction will find, obtain, and distribute resources (including governmental and non-governmental goods and services) to satisfy generated needs, to include pre-incident analysis of resource priorities based on hazard analysis.
- Capability to identify, inventory, dispatch, mobilize, transport, recover, and demobilize and to accurately track and record available human and material critical resources throughout all incident management phases. Critical resources are those necessary to preserve life, property, safety, and security.
- Capability to effectively coordinate and manage the use of affiliated and unaffiliated volunteers and donations in support of domestic incident management.

Associated Capability: Community Preparedness and Participation

Please note: As a common capability, elements of this capability are also included in the above listed questions and prompts.

As you discuss your current level for the Community Preparedness and Participation capability, please provide information on the following:

- The establishment of Citizen Corps Councils as a collaborative structure and process for government and non-government entities to participate in plan development at State and local levels:
 - Does your State provide guidance for inclusion of all sectors on your State and local Councils? If so, describe the guidance. *Sectors include: emergency management, homeland security, law enforcement, fire service, medical services/public health, elected officials, the private sector (especially privately owned critical infrastructure), private non-profits, non-governmental organizations (including faith-based and community-based organizations), and populations needing additional assistance, such as: individuals with disabilities, individuals with medical conditions, and older individuals, individuals from diverse cultural backgrounds, individuals of limited English proficiency, and individuals living in poverty*
 - Does your State provide guidance to local jurisdictions on soliciting input from non-governmental entities, such as through a Citizen Corps Council, on integrating non-governmental resources in Emergency Operations Plans (EOPs), including ESFs?
 - Please provide several examples of how local jurisdictions have integrated non-governmental resources, such as Voluntary Organizations Active in Disaster (VOAD) members, the private sector, and community-based organizations, in at least three ESFs.
- Education and training for the public in prevention, protection, response and recovery from all hazards at State and local levels:
 - Does your State require local jurisdictions to provide and report their preparedness and outreach efforts? Please describe any State-level guidance on educational preparedness.
 - Please provide a link to the State preparedness education and outreach web site.
 - Does the State provide guidance and collect information on local jurisdictions' public alert and warning plans, including systems for alerting when there is no power? Describe any State level guidance on this topic.
 - Estimate a percentage of local governments who have a plan for alerting and warning the public during an emergency.
 - Estimate a percentage of local governments that provide education and training to the public, prior to an incident, on local protective actions including alerts and warning systems, local shelter plans, and evacuation plans.
- Volunteer opportunities in public safety for year round and surge operations at the local level:
 - Estimate a percentage of local jurisdictions that have three or more Citizen Corps Partner Programs (i.e. Community Emergency Response Team (CERT), Volunteers in Police Service, Neighborhood Watch/USAonWatch, Fire Corps, and Medical Reserve Corps)?
 - Estimate a percentage of local Citizen Corps Councils that include representatives of three or more Citizen Corps Affiliates. (For a complete list of Citizen Corps Affiliates, visit <http://www.citizencorps.gov/programs/affiliate.shtm>.)
 - Please provide anecdotal examples of how your Citizen Corps partner programs (i.e. Community Emergency Response Team (CERT), Volunteers in Police Service, Neighborhood Watch/USAonWatch, Fire Corps, and Medical Reserve Corps) contribute to preparedness by participating in: planning, preparedness education and training, exercises, and response.
- General public, volunteers, and non-governmental entity participation in incident response according to plans and training at the State and local levels:
 - Please provide how State plans include coordination and management of affiliated and unaffiliated volunteers during a response.
 - Estimate the percentage of local governments with a plan for managing affiliated and unaffiliated volunteers to provide support during a response.
 - Estimate a percentage of local governments with a plan for quickly deploying non-governmental resources using stand-by contracts and MOUs.

APPENDIX F: TARGET CAPABILITIES LIST

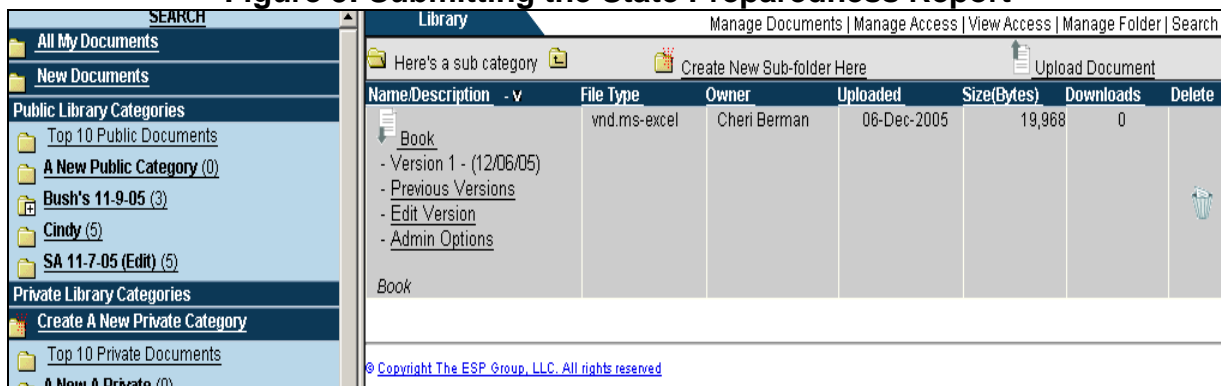
Target Capabilities List (September 2007)	
Common Capabilities	<ul style="list-style-type: none"> • Communications • Community Preparedness and Participation • Planning • Risk Management • Intelligence/Information Sharing and Dissemination
Prevention Mission Capabilities	<ul style="list-style-type: none"> • CBRNE Detection • Information Gathering and Recognition of Indicators and Warnings • Intelligence Analysis and Production • Counter-Terror Investigations and Law Enforcement
Protection Mission Capabilities	<ul style="list-style-type: none"> • Critical Infrastructure Protection • Epidemiological Surveillance and Investigation • Food and Agriculture Safety and Defense • Laboratory Testing
Respond Mission Capabilities	<ul style="list-style-type: none"> • Animal Health Emergency Support • Citizen Evacuation and Shelter-in-Place • Critical Resource Logistics and Distribution • Emergency Operations Center Management • Emergency Public Information and Warning • Environmental Health • Explosive Device Response Operations • Fatality Management • Fire Incident Response Support • Isolation and Quarantine • Mass Care (Sheltering, Feeding, and Related Services) • Mass Prophylaxis • Medical Supplies Management and Distribution • Medical Surge • Onsite Incident Management • Emergency Public Safety and Security Response • Responder Safety and Health • Emergency Triage and Pre-Hospital Treatment • Search and Rescue (Land-Based) • Volunteer Management and Donations • WMD/ Hazardous Materials Response and Decontamination
Recovery Mission Capabilities	<ul style="list-style-type: none"> • Economic and Community Recovery • Restoration of Lifelines • Structural Damage Assessment

APPENDIX G: SUBMISSION OF THE STATE PREPAREDNESS REPORT

States are required to develop the State Preparedness Report using the template (basic structure) provided with this guidance document. Each State must upload the final version of the State Preparedness Report no later than **5:00 p.m. EST on January 4, 2008**, to the FEMA Secure Portal (titled the Office of Domestic Preparedness [ODP] Secure Portal: <https://odp.esportals.com/login.cfm>) as an attachment to each State specific folder. All users who have access to the State folder can upload documents. Once the document has been uploaded, the owner of the document has the ability to edit the name and description. Upload a document by following these steps:

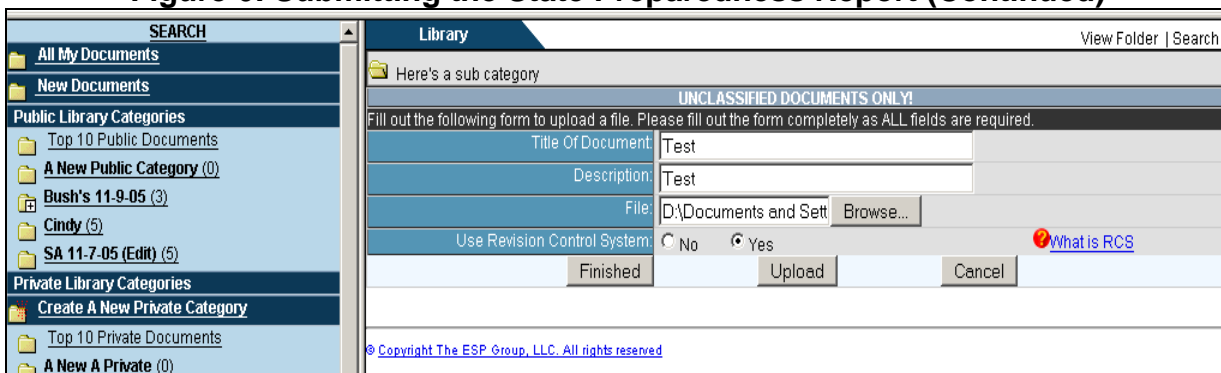
1. Click the category name from the main library
2. Click the “Upload Document” link next to the folder name as shown in the figure below:

Figure 5: Submitting the State Preparedness Report



3. Enter the title and a description in the “Upload Document” screen (refer to the figure above)
4. Click “Browse” to select a file
5. Select the “No” radio button for “Use Revision Control System”
6. Click “Upload” and then “Finished”. A message is displayed stating the document successfully uploaded into the library

Figure 6: Submitting the State Preparedness Report (Continued)



APPENDIX H: ADDRESSING NATIONAL PRIORITY 1- IMPLEMENT THE NIMS AND THE NRF

As States provide information regarding the implementation of NIMS in the Compliance section of the State Preparedness Report, States can follow an abbreviated format to address the Priorities section for National Priority 1: Implement the NIMS and the NRF as follows:

Section	Special Instructions for NP 1: Implement the NIMS and the NRF
Accomplishments (Optional)	No change, follow the instructions provided in the body of this Guidance Document
Current Capabilities	Enter “See Compliance section of this State Preparedness Report” in the Current Capabilities section for this National Priority if the NIMSCAST report was utilized. If not, develop narrative in the same manner of all other Current Capability sections for all other National Priorities.
One-Year Targets (Note: States will only address <u>One-Year</u> Targets for National Priority 1: Implement the NIMS and the NRF)	<p>All States may use the following text when addressing the One-Year Targets section for National Priority 1. This change will be reflected in the final version of the version of the State Preparedness Report Template posted on the FEMA Secure Portal.</p> <p style="text-align: center;"><i>For “National Priority 1: Implement the NIMS and the NRF”, States and Territories must only provide One-Year Targets. The One-Year Targets for NIMS Implementation reflect those activities that must be completed by the end of FY 2008 (September 30, 2008). As currently projected, the FY 2008 required NIMS activities are as follows:</i></p> <ol style="list-style-type: none"> 1. Designate a single point of contact within each of the jurisdiction’s Departments and Agencies 2. Monitor and assess outreach and implementation of NIMS Requirements 3. Establish public information system to gather, verify, coordinate, and disseminate information during an incident 4. Complete training—ICS-300, ICS-400 5. Validate that inventory of response assets conforms to FEMA Resource Typing Standards 6. Utilize response asset inventory for Emergency Management Assistance Compact (EMAC) requests, exercises, and actual events 7. Develop systems and processes to ensure that incident managers at all levels share a common operating picture of an incident 8. Adopted NIMS for all government departments and agencies; as well as promote and encourage NIMS adoption by associations, utilities, non-governmental organizations (NGOs) and private sector incident management and response organizations

Section	Special Instructions for NP 1: Implement the NIMS and the NRF
	<ol style="list-style-type: none"> 9. Monitor formal adoption of NIMS by all tribal and local jurisdictions 10. Establish a planning process to ensure the communication and implementation of NIMS requirements, providing a means for measuring progress and facilitate reporting 11. Designate a single point of contact to serve as the principal coordinator for NIMS implementation 12. To the extent permissible by law, ensure that federal preparedness funding to State and territorial agencies and tribal and local jurisdictions is linked to satisfactory progress in meeting FY2006 NIMS implementation requirements 13. To the extent permissible by state and territorial law and regulations, audit agencies and review organizations routinely included NIMS implementation requirements in all audits associated with federal preparedness grant funds, validating the self-certification process for NIMS compliance 14. Manage all emergency incidents and pre-planned (recurring/special) events in accordance with ICS organizational structures, doctrine and procedures, as defined in NIMS. ICS implementation must include the consistent application of Incident Action Planning and Common Communications Plans 15. Coordinate and support emergency incident and event management through the development and use of integrated multi-agency coordination systems , i.e. develop and maintain connectivity capability between local Incident Command Posts (ICP), local 911 Centers, local Emergency Operations Centers (EOCs), the state EOC and regional and/ federal EOCs and /NRP organizational elements. 16. Institutionalize, within the framework of ICS, the Public Information System (PIS), comprising of the Joint Information System (JIS) and a Joint Information Center (JIC). 17. Establish NIMS baseline against the FY 2005 and FY 2006 implementation requirements 18. Develop and implement a system to coordinate and leverage all federal preparedness funding to implement the NIMS 19. Revise and update plans and SOPs to incorporate NIMS and National Response Plan (NRP) components, principles and policies, to include planning, training, response, exercises, equipment, evaluation and corrective actions 20. Participate in and promote intrastate and interagency mutual aid agreements, to include agreements with the private sector and non-governmental organizations 21. Leverage training facilities to coordinate and deliver NIMS training requirements in conformance with the NIMS National Standard Curriculum 22. Complete training—IS-700 NIMS: An Introduction, Complete IS-800 NRP: An Introduction; ICS-100 and ICS-200 23. Incorporate NIMS/ICS into training and exercises. 24. Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions 25. Incorporate corrective actions into preparedness and response plans

Section	Special Instructions for NP 1: Implement the NIMS and the NRF
	<p>and procedures</p> <ol style="list-style-type: none"> 26. Inventory response assets to conform to FEMA Resource Typing standards 27. Develop state plans for the receipt and distribution of resources as outlined in the National Response Plan (NRP) Catastrophic Incident Annex and Catastrophic Incident Supplement 28. To the extent permissible by state and local law, ensure that relevant national standards and guidance to achieve equipment, communication and data interoperability are incorporated into state and local acquisition programs 29. Apply standardized and consistent terminology, including the establishment of plain language communications standards across public safety sector 30. Support the successful adoption and implementation of the NIMS 31. To the extent permissible by law, ensure that Federal preparedness funding, including DHS Homeland Security Grant Program and the Urban Areas Security Initiative (UASI), support NIMS implementation at the State and local levels Incorporate NIMS into existing training programs and exercises 32. Coordinate and provide technical assistance to local entities regarding NIMS institutionalized used of ICS 33. Incorporate NIMS into Emergency Operations Plans (EOP) 34. Promote intrastate mutual aid agreements, to include agreements with private sector and non-governmental organizations
<p>Initiatives</p>	<p>Please provide a brief summary of the State NIMS program implementation effort and best practices</p> <p>If your State/Territory participates in NIMSCAST:</p> <ul style="list-style-type: none"> • Provide a 1 to 2 page discussion of the State’s/Territory’s plans to address NIMSCAST Corrective Action Plans (CAPs). <p>If your State/Territory does not participate in NIMSCAST:</p> <ul style="list-style-type: none"> • Discuss the State’s/Territory’s plans complete a NIMSCAST self-assessment
<p>Resources</p>	<ul style="list-style-type: none"> • No change, follow the instructions provided in the body of this Guidance Document