



# PRESIDENT'S HOMELAND SECURITY ADVISORY COUNCIL



## STATEWIDE TEMPLATE INITIATIVE

MARCH 2003





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HOMELAND SECURITY  
ADVISORY COUNCIL



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March 3, 2003

President George W. Bush  
President of the United States  
The White House  
Washington, DC 20500

Dear Mr. President:

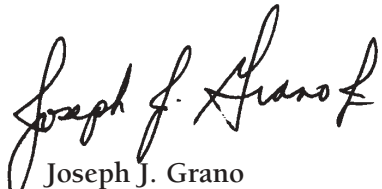
Since October of last year, our State and Local Officials Senior Advisory Committee (SLSAC) and Emergency Services, Law Enforcement, and Public Health and Hospitals Senior Advisory Committee (ERSAC) have worked closely in developing the "*Statewide Template Initiative*." The initiative provides states a foundation for preparing comprehensive and compatible state, local and tribal Homeland Security plans. The *Template* is consistent with and supports implementation of the "*National Strategy for Homeland Security*." It was designed "*from the bottom up*," recognizes that "*one size does not fit all*," and enables the emergency responders and state and local officials who bear the responsibility of preventing terrorist attacks and protecting the Nation and its citizens.

The SLSAC and ERSAC delivered the *Template* to the President's Homeland Security Advisory Council (PHSAC) in February 2003. The PHSAC deliberated on the *Template* and believes it will strengthen and expand existing efforts to create integrated homeland security plans. Using the *Template* as a guide, these plans will be adaptable enough to deal with terrorist attacks, no matter how unlikely or catastrophic, as well as all manner of natural disasters and other hazards. This in turn will not only lead to a more safe and secure America, but a better one, too.

As your Homeland Security Advisory Council, we recommend that this *template* be distributed to all Governors and Homeland Security Advisors of the fifty states and territories through the Secretary of the Department of Homeland Security. We firmly believe that there is a sense of urgency, accountability, and readiness that must drive the immediate distribution of the *Template* to State and Local officials. For our part, we will immediately begin working with the Department of Homeland Security to recommend an implementation process that will provide for Homeland Security performance measures, the capture of lessons-learned, and identification and adoption of best practices Nation-wide.

The Council thanks you for the opportunity to serve and looks forward to working with you in meeting the spectrum of the Nation's Homeland Security challenges.

Sincerely,



Joseph J. Grano  
Chair, President's Homeland  
Security Advisory Council



William Webster  
Vice Chair, President's Homeland  
Security Advisory Council



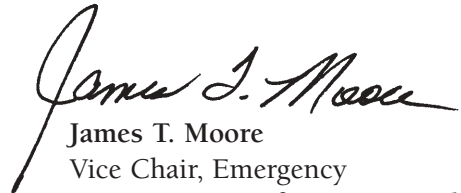
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Senior Advisory Committee



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Vice Chair, State and Local Officials  
Senior Advisory Committee



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Chair, Emergency Services,  
Law Enforcement, and Public  
Health and Hospitals Senior  
Advisory Committee



James T. Moore  
Vice Chair, Emergency  
Services, Law Enforcement, and  
Public Health and Hospitals  
Senior Advisory Committee

cc: Secretary Tom Ridge

# Statewide Template Initiative

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## PURPOSE

The Statewide Template Initiative is consistent with and designed to support implementation of the “*National Strategy for Homeland Security*.”

- The primary objective of the Statewide Template Initiative (STI) is to assist state<sup>1</sup> and local and tribal authorities in their development of coordinated and comprehensive Homeland Security plans. The *Template’s* questions, which were developed by leaders of state and local governments and emergency response community, provide a foundation for the preparation of comprehensive and compatible state, local and tribal Homeland Security plans that maximize state and local terrorism prevention and response capabilities.
- The *Template’s* questions (and additional questions posed by state and local officials) will expand and integrate existing homeland security planning to deal with terrorist attacks, no matter how unlikely or catastrophic, as well as all manner of natural disasters and other hazards. The resulting plans will bolster everyday protection and response capabilities and the states’ ability to better serve its citizens in today’s environment.

## GUIDING PRINCIPLES

- Make America “*Safer, Stronger, and Better*.”
- Recognize the effects of all terrorist attacks occur locally.
- Maximize collective efforts to prevent terrorist attacks, reduce risks, and respond effectively to attacks that do occur.
- Assure that efforts are State based but locally focused and driven—*flexible, scalable, and adaptable*.

- Recognize that our enemy is networked and can only be defeated by a networked system—therefore homeland defense must resemble networked PCs rather than a mainframe computer.
- Ensure that our homeland security efforts do not result in significant alteration of our federalist form of government.
- Empower state and local officials’ Homeland Security efforts, leveraging existing emergency preparedness and response programs and capabilities to meet emerging threats to the Nation and its citizens.
- Promote interoperable and reliable telecommunications capabilities nationwide.
- Promote integrated and collective training, exercises and evaluations.
- Facilitate the adoption of best practices from other jurisdictions.
- Enable government and private sector at all levels the ability to carry out its Homeland Security responsibilities.
- Promote citizen participation in state, local, private sector and regional homeland security efforts through volunteer service activities, preparedness, education and awareness.
- Ensure funding follows policy.
- Process matters—specific measures of performance in plans drive clarity, accountability, and success.
- The *Homeland* will be secure when *Hometowns* are secure.

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## TEMPLATE QUESTIONS

The following questions are “*outcome based*” and designed to assist state and local governments prepare their State Homeland Security Plans. The questions are intended to provide a common understanding of responsibilities of all participants, the scope of issues, authorities, and responsibilities to be addressed, required operational capabilities; and to help provide an interoperable context to the homeland security planning effort.

### **Expectations**

- What does the state expect from the federal government?
- What do local governments expect from the state government?
- What should private sector entities expect from federal, state and local governments?
- What should citizens expect from federal, state and local governments?
- What should state and local governments expect from their citizens?

### **Continuity of State and Local Government**

- Are plans in place to ensure the timely and successful “*Order of Succession*” of state and local leaders?
- What measures exist to ensure the continuity of state and local government?
- Have alternative locations for state and local government operations been identified?
- What collaborative agreements are in place with private industry to ensure business continuity?
- Do state or local mutual assistance compacts address the continuity issue?

### **Continuity of Critical State Services**

- Have critical state services (e.g., hospitals, emergency medical services, critical infrastructure and associated personnel) been identified?
  - Are contingency plans in place to ensure their reliability, and have they been recently tested?
- What are your plans to include key representatives of the private sector and those specifically responsible for critical infrastructures in the development of plans supporting the continuity of government, business and critical infrastructures?

### **Critical Infrastructure**

- What are the critical key assets and infrastructures (cyber and physical)?
- Who owns them and who is responsible for their operation?
- Do regionally located critical infrastructures and infrastructure services have the capacity to impact adjacent regions?
  - Have these infrastructures been identified to all potentially affected regions and Federal Government?
- What are the multi-region critical infrastructures single points of failure and interdependencies?
  - How are they being addressed?
- What measures need to be taken to assure state and local critical infrastructure reliability?
- Is state and local government partnering with critical private sector industries and infrastructures to help ensure their protection and survivability?
- Has a method been established to allow critical infrastructure owners to query the backgrounds and help ensure the reliability of

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new employees and periodically those in sensitive positions?

## **Law**

- Do you have an active system of law reform to identify and address issues related to terrorism?
- Do you have a system for education of individuals affected by legal reforms related to terrorism?
- Do you have a plan for continuity of your legal system in the event of a terrorist attack?

## **Information Sharing and Technology**

- What is the state information-sharing structure?
- What requirements for specific Homeland Security related information have been provided to local, State, and Federal authorities and the private sector?
- What policies and mechanisms (beyond law enforcement) are in place to ensure timely and reliable exchange of intelligence and information among and between local, state, and federal authorities and the private sector?
- What communications limitations currently exist that requires upgrading to take advantage of emerging Homeland Security related information sharing.
- Are local, state and federal law enforcement agencies aware of the mechanisms for intelligence sharing that support homeland security efforts (education process)?
- Do local and state plans provide for outreach to the media before, during, and after terrorist incidents, natural disasters, and all matter of hazards?
- Are commercial Information Technology reliability standards sufficient to ensure systems performance in emergency environments?

- Is there a requirement for secure communications?
  - If so, are there assigned/protected frequencies available for use by the emergency response community?
- Has each sector identified and defined the information needed to carry out its homeland security mission?
- Has each sector identified and defined what information needs to be shared among entities within sector and with other sectors?
- Have the differences between the needs of urban and rural responders been identified and accommodated?
- What are the plans to continue communication with appropriate private sector and critical infrastructure representatives in the event an emergency precludes normal means of communication?

## **Borders**

- Do state and local Border Security plans clearly define the roles and responsibilities of federal, state, and local jurisdictions?
- Where do federal and state responsibilities coincide?
- Where do federal and state responsibilities diverge?
- How are different federal/state roles and responsibilities defined?
- Have lines of communication been established with the Department of Homeland Security?
- Are procedures in place to track high-risk interstate traffic/cargo?



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## ***First Responders and Emergency Services***

- Who are they?
- What do they require/need?
- How are requirements/needs determined and prioritized?
- How is consensus gained for requirements/needs?
- Is there any process to monitor training and equipment acquisition for responders for standardization and quality?
- How is standardization of equipment purchasing achieved?
- How are requirements tied to capability?
- How are new capabilities obtained and sustained?
- Have protected/exclusive communications paths and command authorities been established?
- Is there a standard, unified, system for incident command?
- Are the command systems implemented and trained across city, county, and state agencies?
- Have homeland security information requirements been documented?
- Are public utility services, public health, hospitals and other medical care providers, and emergency medical service providers involved in planning and training?
  - Are their emergency plans tested and training evaluated?

## ***National Guard***

- Is the National Guard included in state plans?
  - How many Guardsmen are also first responders?

- Are they included in local and multi-state mutual assistance compacts?
- What is the understanding between state and local governments regarding the use of the National Guard to support homeland security operations?
- Are Title 10 and Title 32 US Code authorities and responsibilities clearly understood?

## ***Public Health and Chemical/Biological/Radiological Terrorism***

- Who is responsible for chemical/biological/radiological defense efforts?
  - Do chemical/biological defense efforts include decontamination of human, livestock, crops, water supplies, and facilities?
  - Are agricultural products inspected at the borders and ports?
  - Are there laboratories readily available that can quickly test for agents affecting humans as well as vegetable and livestock diseases?
  - Is there a rapid means to communicate critical communicable disease information to appropriate agencies (federal, state and local)?
  - Are chemical/biological/radiological antidotes and prophylaxes, antidotes and other emergency pharmaceuticals readily available?
  - Are distribution systems reliable and in place and are they exercised?
- Is there a comprehensive public health plan that addresses, federal, state and local resources, legal, economic and operational components?
- Are hospital and other medical care providers, emergency medical services, and veterinarian and agricultural inspectors included in the plans?

- What methods are used to ensure timely equipment purchasing?
- Is the public safety community inoculated?
- Have biological, chemical, and nuclear attack exercises been conducted?
- How are new capabilities obtained and sustained?

### **Private Sector**

- How is the Private Sector being incorporated into your planning process?
  - What public/private sector agreements are in place to ensure effective partnerships between state and local governments and the private sector?
  - Have key private sector leaders been identified?
  - Have critical private sector industries been identified in terms of their specialized resource capability or economic value?
  - Have private sector resources been identified for potential government use through appropriate agreements and contracts?
  - Are small and medium sized enterprises integrated into state and local plans?

### **Volunteer Service**

- Are Private Volunteer Organizations, Non-Governmental Organizations and federally-sponsored volunteer programs (e.g., Civil Air Patrol, Red Cross, community and faith-based, Americorps, and Senior Corps) included in terrorism strategic and operational plans, such as through state and local Citizen Corps Councils?
- Have volunteers with specialized expertise and supplemental equipment (e.g., hi-mobility transportation, communication, etc.) been identified?

- Do your state and local communities have Citizen Corps Councils to coordinate citizen participation in homeland security activities (see [www.citizenscorps.gov](http://www.citizenscorps.gov))?

### **Schools**

- Are homeland security issues factored into public and private school operations?

### **Citizens with Special Needs**

- How do your plans deal with citizens with special needs?

### **Operations and Information Security**

- What activities are divulging information that could support planning for, conduct of, and enhance the effects of terrorist operations?
  - What is being done to correct the practice(s)?
- What resources are required or are being utilized to help improve state, local and private sector operations and information security procedures?
- What mechanisms are used to disseminate secured information?
- What are your priority information systems and how is their performance assured?

### **Homeland Security Advisory System (HSAS)**

- Has the HSAS been adopted by the state and/or local governments?
- Has the HSAS been tailored for regional needs?
- Has the HSAS been integrated into the state's emergency public information plan?
- Has the media been informed of the basic characteristics of the system?

- Have you translated the advisory system into actual operational use?
- Is there a standardized system of tasks for each level?
- What can state and local governments do to tailor the HSAS for their policy-makers, emergency planners, first responders, and public information officers?

### **Public Information and Communications**

- Does the state's emergency public information plan integrate the public information resources of all state and local agencies?
- Does the emergency public information plan extend to local authorities?
- Are there agreements between state and local jurisdictions regarding who has the lead for various categories of public information?
- Is the media being consulted and included in public information planning?
- Does the emergency public information plan include pre-scripted messages designed for rapid dissemination through the media to inform, reassure, and protect the public?
- Is there specific emergency information training available for elected and appointed officials?

### **Lexicon**

- Is there an accepted, commonly used and universally understood, language among the multiple disciplines of the State and local and response communities?
  - Is the lexicon consistent with the Emerging National Incident Management System?

### **Funding**

- How are local operational needs identified, developed, prioritized, and presented to state authorities?
- How is bottom-up funding consensus achieved?
- How is the state working with local governments to identify and support local priority needs?
- How is the state ensuring local priorities are met?
- How does consensus support budget priorities?
- Are budget priorities supported by the Governor's Office and State Legislature?
- How are federal funds monitored and distributed to meet operational needs of the state and local jurisdictions?
- What are the roadblocks to the efficient and timely distribution of Federal resources?

### **Training, Exercising and Evaluating**

- Is there an integrated testing/evaluation program?
  - Are Emergency Management Accreditation Program (EMAP) evaluation standards utilized?
- Are "lessons-learned" integrated into new performance standards?
- Have minimum terrorism training, exercise, and evaluation standards been established for state agencies?
- Are those same standards required at the local level?
- How is success determined?
- Will Field Exercises and Tabletop Exercises be a component of the evaluation methodology?

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- Have state level documents been refined to reflect the changing response requirements of terror related incidents?
    - Field Operating Guide?
    - Standard Operating Procedures?
    - Modifications to the state Comprehensive Emergency Management Plan?
  - Is there a joint training program for responding to acts of terrorism that involve appropriate representatives from critical infrastructures?
  - Is there a process to review and provide recommendations to corporate security officials for enhancing security at critical infrastructure sites?
  - How is standardization of training/equipment and interoperability both vertically and horizontally assured?
  - What training and maintenance programs are in place to sustain new capabilities?

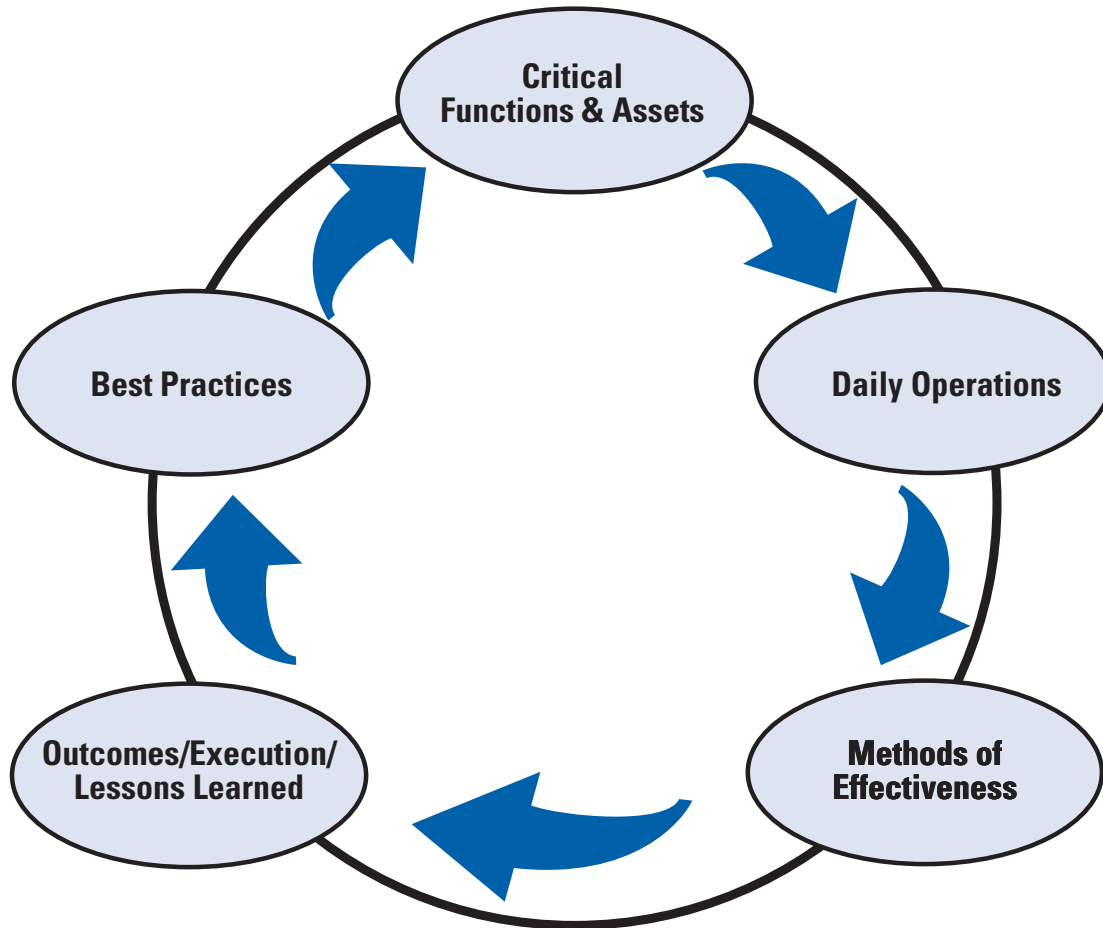
## ***Planning and Change Management***

- How are strategic processes adapted to changing capabilities and conditions?
- How are plans adapted to sustain new capabilities and ensure long-term success?
- How are specific goals identified and measures of performance applied to objectively assess and manage existing efforts and track new initiatives in statewide plans?

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<sup>1</sup>The “*National Strategy for Homeland Security*” defines “State” to mean “any state of the United States, The District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Canal Zone, the Commonwealth of the Northern Mariana Islands, or the trust territory of the Pacific Islands.” The *Strategy* defines “local government” as “any county, city, village, town, district, or other political subdivision of any state, any Native American tribe or authorized tribal organization, or Alaska native village or organization, and includes any rural community or unincorporated town or village or any other public entity for which an application for assistance is made by a state or political subdivision thereof.”

# Statewide Template Initiative



## THE TEMPLATE SUPPORTS THE NATIONAL HOMELAND SECURITY STRATEGY AND INCLUDES:

- Expectations
- Continuity of State and Local Governments
- Continuity of Critical State Services
- Critical Infrastructure
- Law
- Information Sharing and Technology
- Borders
- First Responders and Emergency Services
- National Guard
- Public Health and Chemical/Biological/Radiological Terrorism
- Private Sector
- Volunteer Service
- Schools
- Citizens with Special Needs
- Operations and Information Security
- Homeland Security Advisory System
- Public Information and Communications
- Lexicon
- Funding
- Training, Exercising and Evaluating
- Planning and Change Management

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