This undergraduate survey course introduces students to the U.S. government response to the Oklahoma City Bombing of 1995, the 9-11-01 Attacks, the Anthrax Attacks of October 2001, and Hurricane Katrina as major factors influencing the government’s efforts to establish and then evolve the U.S. Department of Homeland Security (DHS). Although the course focuses on DHS, it also examines state and local dimensions of homeland security. It will also compare how the government accomplished homeland security related missions prior to the establishment of DHS. Topics examined include preparedness and capabilities building, response and resilience; critical infrastructure protection; threat & vulnerability assessment and risk management; cyber security; counter-terrorism and terrorism interdiction; border and transportation security, customs, immigration policy and enforcement.
Textbook and Materials:

Textbook:
Michael Chertoff and Lee H. Hamilton, Homeland Security: Assessing the First Five years (University of Pennsylvania) 2009

Additional Instructor Provided Materials: All materials (.pdfs) will be made available to students via Blackboard by Class Day 1 (NOTE: Reading assignments limited within each document – discussed later in syllabus).

- Civil Defense and DHS: A Short History of National Preparedness Efforts; U.S. DHS.
- Public Law 107-56 – October 26, 2001 (USA Patriot Act of 2001)
- The Whitehouse; Securing the Homeland Strengthening the Nation (2002)
- The Patriot Act of 2001
- DHS; Secure Borders, Safe Travel, Legal Trade (CBP Strategic Plan 2009)
- Building a 21st Century Immigration System (2011)
- DHS; ICE Strategic Plan (2010)
- Comprehensive National Cybersecurity Initiative (2011)
- Stafford Act of 2007
- National Preparedness Guidelines
- DHS; Assessing and Analyzing Consequences: A DHS Risk Management Guideline
- DHS. National Terrorism Advisory System Public Guide (2011)
Evaluation Strategy:

Each student will have the opportunity to earn up to 1,000 points through a combination of class quizzes, a short mid-term paper, and a final major paper.

Grading Scale (based on 1,000 total points)

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<th>Grade</th>
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Class Quizzes: 30% (299 points)
My expectation is that you will prepare for each class and participate in all class discussions. At the beginning of each class (other than the first class) you will take a short quiz that will cover that class’s assigned readings as well as the discussions from the previous class. Each quiz will be worth 23 points. You will be permitted to “make-up” one quiz if you miss the class (unexcused absence) or come late to a class (unexcused tardiness). Make up quizzes will be available at the Undergraduate Contact Office.

Short Mid-term Paper: 30% (300 points)
On or before class 7 (March 5, 2012), you will be expected to write and submit an original 5-6 page paper that heavily relies upon multiple primary sources and/or official documents. The paper will be related to the establishment of the U.S. Department of Homeland Security (DHS) and will focus on a single directorate or office within DHS. The paper will 1) summarize the mission and functions of that directorate or office as it was originally established; 2) summarize key national strategies or plans that guide its operations; and 3) compare that organization with how it or its related mission was accomplished prior to the establishment of DHS. (In other words, how did the Federal government provide this service or meet the intent of this mission before and after the establishment of DHS).

After some preliminary research, and prior to February 6, 2012, you will schedule a meeting with me either by phone or during office hours to discuss your proposed topic, to help ensure that the paper will be satisfactory and to help you identify potential resources, if necessary. If you fail to meet with me by phone or in person by the
February 6th deadline, your mid-term paper will be penalized 30 points. I will not accept late papers, so papers not received via email by 11:59pm on March 5, 2012, will receive a grade of “zero.”

**Major Final Paper: 40% (401 points)**

On or before May 14, 2012, which is the scheduled final exam date for Monday evening classes, you will be expected to submit an original paper of approximately 12-15 pages. The purpose of the paper will be to explore, compare, and contrast a topic related to homeland security. The topic selected should focus on a particular event or series of events for which DHS had a key role or responsibility in terms of prevention, protection, response, or recovery. This necessarily restricts the topics/events to a timeframe between 2002 and 2012. The paper will summarize the events or series of events as a means of establishing a foundation for the student’s discussion, which will comprise the bulk of the paper. The paper will discuss applicable policy/policies, national strategies or plans, after action reports, and related documents. The student will compare and contrast the actions/decisions of DHS applicable to the event/event with the expectations of DHS as delineated in legislation, strategies, policies, plans, etc., The student is expected to explicitly state and support an opinion of “how DHS did” compared with expectations with regard to the particular event or series of events. Finally, the student will discuss any policy, strategy, or legislative changes made subsequent to the event/events (in terms of the paper’s topic) in relation to DHS.

After substantial research on your topic, and prior to March 19, 2012, you will schedule a meeting with me to discuss your proposed topic. If you fail to meet this March 19 deadline (failure to meet with the instructor by phone or in person), your final paper will be penalized 30 points. You are strongly encouraged to consult with me throughout the paper’s development as a means to assist you in achieving success with the project.

A preliminary 1-2 page paper progress report will be due via email on or before midnight of April 2, 2012. This report will concisely describe the paper’s topic and related event/events. This progress report will also outline sources that you are using or planning to use in the development of the paper. I will provide feedback via email within two weeks.

Papers not received via email by 11:59pm on May 14, 2012, will receive a grade of “zero.”
Expected Class Preparation and Reading Efforts: This course will guide the student through a broad study of the establishment and evolution of the U.S. Department of Homeland Security and related domestic preparedness efforts. Chertoff and Hamilton’s book will be used to provide an important analysis to the first five years of DHS through the perspectives of two men who played significant roles in that arena. I expect you to carefully read the text assignments as they are prescribed prior to each class as they will be instrumental to the discussions.

In addition to the text book, I am providing a lengthy set of references and supplemental reading documents. The primary sources are essential to our discussions and they should be very useful to you as you write the two papers. I will provide you with specific guidance as to which “sections” of the documents on which your studies should focus. In most cases, I am looking for you to gain an appreciation and understanding of the major elements of the reading. The weekly quizzes will not require extremely detailed recall on your part but rather your recollection and understanding of the major elements of the previous class’s discussion and the reading assignments. I would estimate that your reading and study effort prior to each class will require approximately 2-4 hours per week.

The Papers: The two papers play a very significant role in helping you understand the evolution of DHS and related homeland security efforts in the U.S. The papers should relate to one another drawing upon a blend of primary sources and related views and perspectives from key experts. I expect that your efforts in regard to the papers will draw upon your research, reading comprehension, and writing skills. I cannot overstate the importance of beginning your work on these papers early, working on them throughout the semester, and managing your time carefully so as to meet the expected deadlines.
Plagiarism: Simply stated, plagiarism will not be tolerated and will result in the paper being awarded “zero points” and the matter being referred to judicial review.

The following is taken from the UAlbany Undergraduate Bulletin:

(http://www.albany.edu/undergraduate_bulletin/regulations.html)

Plagiarism

Presenting as one's own work the work of another person (for example, the words, ideas, information, data, evidence, organizing principles, or style of presentation of someone else). Plagiarism includes paraphrasing or summarizing without acknowledgment, submission of another student's work as one's own, the purchase of prepared research or completed papers or projects, and the unacknowledged use of research sources gathered by someone else. Failure to indicate accurately the extent and precise nature of one's reliance on other sources is also a form of plagiarism. The student is responsible for understanding the legitimate use of sources, the appropriate ways of acknowledging academic, scholarly, or creative indebtedness, and the consequences for violating University regulations.

Examples of plagiarism include: failure to acknowledge the source(s) of even a few phrases, sentences, or paragraphs; failure to acknowledge a quotation or paraphrase of paragraph-length sections of a paper; failure to acknowledge the source(s) of a major idea or the source(s) for an ordering principle central to the paper's or project's structure; failure to acknowledge the source (quoted, paraphrased, or summarized) of major sections or passages in the paper or project; the unacknowledged use of several major ideas or extensive reliance on another person's data, evidence, or critical method; submitting as one's own work, work borrowed, stolen, or purchased from someone else.
Class Outline and Schedule:
(Note: Classes are designed for 3-hour blocks, occurring once per week)

Class 1: January 23, 2012

U.S. Domestic Preparedness Prior to the 2001 Attacks

Students will explore the state of affairs in terms of domestic preparedness that existed within the United States prior the 2001 attacks. This class will discuss the federal, state, and local policies and practices that were in place during the cold war era, through the evolution of the Civil Defense to the Federal Emergency Management Agency (FEMA). Using this discussion as a foundation, the class will examine the response to the 1995 Oklahoma City bombing which led to the passage of the Nunn-Lugar-Domenici Bill that caused a more focused emergency preparedness effort by the federal government, especially in the 120 most populous cities. This also led to the establishment of the Office for Domestic Preparedness within the U.S. Department of Justice.

Readings:
- U.S. DHS; Civil Defense and DHS: A Short History of National Preparedness Efforts (Instructor Provided); Read: All 36 Pages

Class 2: January 30, 2012

The 2001 Attacks: Response and Immediate Reactions of the U.S. Government

Class 2 will encompass discussions around the September 11, 2001 terrorists’ attacks and the October 4, 2001 anthrax attacks in the United States. The focus of the discussions will be on an examination of the “state of preparedness” of the U.S. in terms of preventing and responding to the attacks. This discussion will facilitate a better understanding of the various policy and legislative changes that occurred, particularly on a federal/national level.

Readings: [NOTE: Students are expected to review these documents only – not a detailed reading, based on guidance provide by the Instructor in Class 1.]
• **Public Law 107-206** *(2002 Supplemental Appropriations Act for Recovery from and Response to Terrorist Attacks on the United States)*. (Instructor provided); Read: Only highlighted sections in document and then only to get the “overall intent” of Congress in these matters.

• The Whitehouse; *National Strategy for Homeland Security – 2002; July 2002*. (Instructor Provided);
  
  o Read the following sections:
  
  ▪ POTUS 43 Comments
  ▪ Executive Summary
  ▪ Introduction
  ▪ Threat and Vulnerability, pp 7-10
  ▪ Organizing…. page 11
  ▪ Intelligence… pp 16-19
  ▪ Border and Transportation… pp 21-23
  ▪ Domestic Counter Terrorism… pp 25-28
  ▪ Protecting Critical infrastructure… pp 29-31
  ▪ Defending Against Catastrophic… pp 37-40
  ▪ Emergency Preparedness… pp 41-45
  ▪ Law… pp 47-50
  ▪ Science and Technology… pp 51-54
  ▪ Information Sharing… pp 55-58
  ▪ International Cooperation… pp 59-61
  ▪ Costs… pp 63-66
  ▪ Conclusion… pp 67-69

• **Public Law 107-56 – October 26, 2001** *(USA Patriot Act of 2001)* (Instructor Provided); Read: Only highlighted sections in document and then only to get the “overall intent” of Congress in these matters.
Class 3: February 6, 2012

NOTE: Each student should have discussed his/her proposed topic for the mid-term paper prior to tonight’s class.

The Establishment of the U.S. Department of Homeland Security

Beginning with a review of the tools available to the President of the United States and the Congress, the class will discuss the general posture of the federal, state, and local governments as well as the general state-of-preparedness that existed on 9/11/01 that served as the starting point for the establishment of the U.S. Department of Homeland Security (DHS) and various related national strategies. This discussion will explore the use of Presidential Directives, legislation, and grants as important tools used to create DHS, improve federal inter-agency cooperation and coordination, and to begin the process of “inclusion” in terms of state and local governments, NGOs, the private sector, and the citizens of the U.S.A.

We will also cover the concepts and impacts of a presidential directive in terms of President George W. Bush’s establishment of Homeland Security Presidential Directives (HSPDs) as well as the results of HSPD 1.

Readings:
- HSPD 1 (Instructor Provided); Read: All
- The Whitehouse; Securing the Homeland Strengthening the Nation (Instructor Provided); Read: All 37 pages
- The Patriot Act of 2001 (Instructor Provided); Read: Same as for Class 2
- The Whitehouse; National Strategy for Homeland Security – 2002. (Instructor Provided); Read: Same as for Class 2
Class 4: February 13, 2012

The U.S. Department of Homeland Security: an Organizational Structure

Building on the discussions of Class 3, students will explore and learn about the structure and functions of the matrix of directorates and offices that comprise DHS from 2003-2006. Students will be able to compare and contrast the key functions of the following DHS Directorates:

- Directorate for National Protection Programs
- Directorate for Science and Technology
- Directorate for Management
- Office of Policy
- Office of Health Affairs
- Office of Intelligence Analysis
- Office of Operations and Coordination and Planning
- Federal Law Enforcement Training Center
- Domestic Nuclear Detection Office
- Transportation Security Administration
- U.S. Customs and Border Protection
- U.S. Citizenship and Immigration Services
- U.S. Immigration and Customs Enforcement
- U.S. Coast Guard
- Federal Emergency Management Agency
- U.S. Secret Service

Readings:

- The Whitehouse; *Securing the Homeland Strengthening the Nation (2002)* (Instructor Provided); Read: Same as for Class 2
- The Whitehouse; *National Strategy for Homeland Security (2002)* (Instructor Provided); Read: Same as for Class 2
Class 5: February 20, 2012

Presidential Directives and National Strategies

In addition to the establishment of DHS, the President implemented many changes impacting the federal government’s approach to homeland security which ultimately worked its way down through state and local governments as well as NGOs and the private sector. Most of this effort was accomplished through the use of Presidential Directives and national strategies. Class 5 will take an in-depth look at all 24 of the Homeland Security Presidential Directives (HSPDs) implemented by President George W. Bush as well as the Presidential Policy Decisions implemented by President Obama.

Key national strategies, initiatives, or statutes will be introduced with many covered in more detail throughout the remainder of the course. Those introduced in this class include:

- National Intelligence Strategy (2009)
- Secure Borders, Safe Travel, Legal Trade (CBP Strategic Plan 2009)
- National Strategy or Countering Biological Threats (2009)
- ICE Strategic Plan (2010)
- Building a 21st Century Immigration System (2011)
- Comprehensive National Cybersecurity Initiative (2011)
- National Strategy for Counterterrorism (2011)
- Patriot Act (2001 and 2005)
- Stafford Act (June 2007)
- The National Security Strategy of the USA (2006 and 2010)
- National Strategy for Aviation Security

Readings:
- Compendium of HSPDs and PPDs (Instructor Provided); Read: All
- National Terrorism Advisory System Public Guide (April 2011); Read all 8 pages
Classes 6: February 27, 2012

Protecting the Nation’s Borders and Enforcement of the Nation’s Immigration and Customs Laws and Implementation of Related Strategies by DHS

Students will look at how DHS protects the nation’s borders and enforces the nation’s immigration and customs laws. The class will review, compare, and contrast the following:

- Secure Borders, Safe Travel, Legal Trade (CBP Strategic Plan 2009)
- ICE Strategic Plan (2010)
- Building a 21st Century Immigration System (2011)

Readings:

- DHS; Secure Borders, Safe Travel, Legal Trade (CBP Strategic Plan 2009) (Instructor Provided); Read the following sections:
  - Mission – Vision… p 4
  - Challenges and Threats… pp 4-10
  - CBP Goals… pp 11-12
  - Cross Cutting Enablers… p 21
  - Partnerships… pp 22-23
  - Promote… pp24-25
  - Appendix III… pp29-30
- DHS; ICE Strategic Plan (2010) (Instructor Provided); Read: All 8 pages
- Building a 21st Century Immigration System (2011) (Instructor Provided); Read the following sections:
  - Introduction… pp1-3
  - Building on Progress… pp 5-10 (outline only)
  - Economic Imperative… pp 11-13 (outline only)
  - Responsibility… pp 15-17
  - Accountability… pp 19-22
  - Strengthening… pp 23-26
  - Responsibility… pp 27-28
  - Call to Action… p 29
- HSPDs 2, 6, 11, and 13 (Instructor Provided); Read: See Class 5
Class 7: March 5, 2012

NOTE: Mid-term paper is due on or before today!

Protecting the Nation’s Assets: an Exploration of the Key Concepts and Strategies Relating to Critical Infrastructure Protection

Students will compare and contrast the roles and responsibilities of the private and public sectors with that of government in protecting the nation’s critical infrastructure as delineated in the National Infrastructure Protection Plan. Students will observe the evolution of critical infrastructure protection from the early national strategy *The Physical Protection of Critical Infrastructures and Key Assets* through the current day National Infrastructure Protection Plan (NIPP).

Readings:
- HSPDs 7 and 9 (Instructor Provided); Read: See Class 5
- Instructor provided handouts summarizing the NIPP. To be distributed in class

March 12, 2012 – No Class; Classes Suspended
Cybersecurity and Continuity of Operations/Government

Part A: Cybersecurity

The class will take a brief look into what many consider to be one of America’s biggest threats: “threats to cybersecurity.” Using the National Secure Cyberspace (2003) and the Comprehensive National Cybersecurity Initiative (2011) “Part A” will explore the threat as well as the nation’s strategies to protect cyberspace.

Part B: Continuity of Operations and Government (COOP and COG)

The resilience of government, agencies, and the private sector depend significantly upon their ability to continue operations without a breakdown following a significant event. “Part B” will involve class activities intended to help the students learn the key concepts of COOP and COG, both of which are key to homeland security.

Readings:
- National Strategy to Secure Cyberspace (2003) (Instructor Provided); Read: Executive Summary
- Comprehensive National Cybersecurity Initiative (2011) (Instructor Provided); Read: All
- HSPDs 20 and 23 (instructor provided summary of HSPD 23) (Instructor Provided); Read: See Class 5
- Chertoff. Homeland Security: Assessing the First Five Years. Read: Chapter 8
Class 9: March 26, 2012


Students will expand upon the statutory provisions of the Stafford Act to the broader response and recovery role of FEMA as it has evolved through the establishment of DHS and post-Katrina revisions. The Stafford Act’s provisions are the foundation for state and local governments to access the federal government’s vast resources, especially in disaster recovery.

Part B: Building the Nation’s Preparedness Capabilities through Coordination of Efforts, Planning, and Resources

“Part B” will help the students develop an understanding how the nation, at all levels, is engaged in the development of comprehensive preparedness capabilities, which began with HSPD 8 issued by President Bush. “Capabilities based planning and preparedness” is the process that primarily drives the current DHS State and Local Homeland Security Grants Programs authorized and appropriated by Congress and which is responsible for significant preparedness improvements since 2001.

Readings:
- HSPDs 5, 8 (Instructor Provided); Read: See Class 5
- Chertoff. Homeland Security: Assessing the First Five Years. Read: Chapters 9, 12, & 13
- Stafford Act of 2007 (Instructor Provided); Read: See Highlighted Areas in Document
- National Preparedness Guidelines (Instructor Provided); Read: pp 1-11; 22-23; 31-33

Class 10: April 2, 2012

Continuation of “Preparedness” from Class 9

April 9, 2012 – No Class Classes Suspended
Class 11: April 16, 2012

Threats, Vulnerabilities, and Risk Management

Arguably the most significant process that drives the development of key capabilities in terms of the “prevent,” “protect,” and “response” mission areas is “Risk Management” which relies heavily upon comprehensive and evolutionary assessments of the threats the homeland faces and the vulnerabilities targeted by the threats. Threats and hazards are a blend of natural events, accidents, and deliberate attacks. The discussion on “vulnerabilities” will include such as areas as “human factors,” physical security,” “structural strengths and weaknesses,” as well as a host of others. The capstone discussion will help the students develop an understanding of the key elements of the “risk management” process and how this applies to homeland security.

Readings:
- Chertoff. Homeland Security: Assessing the First Five Years. Read: Chapters 1, 4, 6, 11, & 12
- DHS: Risk Management Fundamentals (Instructor Provided); Read: All

Class 12: April 23, 2012

Weapons of Mass Destruction and Homeland Security

Class 12 will help the students understand “weapons of mass destruction (WMD)” from the perspective of homeland security and especially to the mission areas of “prevent,” “protect,” and “respond.” This class is intended to be more “application” than “theory” and will focus primarily on the domestic threat and related preparedness efforts. The discussions will also include a look at how the statutory definition of WMD (as articulated in the Homeland Security Act of 2002) has been used as a key terrorist interdiction tool.

Readings:
- HSPDs 4, 10, 14, 18, and 19 (Instructor Provided); Read: See Class 5
- Instructor provided handout materials
Class 13: April 30, 2012

Terrorism, Counter-Terrorism, and Terrorism Interdiction

Students will study key concepts and strategies that comprise the nation’s on-going battle against terrorists and their aggressive acts against America. The discussion will help the class to link “intelligence” and “information sharing,” to the counter-terrorism and terrorism interdiction efforts. Discussions around the evolution of various “terrorism” definitions will aid the students in linking the statutory definitions (DoS and DHS) to interdiction efforts.

Readings:
- HSPD 2 (Instructor Provided); Read: See Class 5

Class 14: May 7, 2012

Putting it All Together

Class 14 will provide the students capstone discussions intended to help them link the various strategies, statutes, programs, and processes that comprise the present day concept of “homeland security.” In so doing, particular focus will be on comparing and contrasting the roles and responsibilities of the three levels of government (federal, state, and local) as well those of NGOs and the private sector.

Readings:
All previous

**FINAL PAPER is DUE on or before May 14, 2012!**