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SECURING THE NATIONAL CAPITAL REGION: AN EXAMINATION OF THE NCR'S STRATEGIC PLAN

HEARING

BEFORE THE

OVERSIGHT OF GOVERNMENT MANAGEMENT, THE FEDERAL WORKFORCE AND THE DISTRICT OF COLUMBIA SUBCOMMITTEE

OF THE

COMMITTEE ON HOMELAND SECURITY AND GOVERNMENTAL AFFAIRS UNITED STATES SENATE

ONE HUNDRED NINTH CONGRESS

SECOND SESSION

SEPTEMBER 28, 2006

Available via http://www.access.gpo.gov/congress/senate

Printed for the use of the Committee on Homeland Security and Governmental Affairs

U.S. GOVERNMENT PRINTING OFFICE

30–603 PDF WASHINGTON : 2007

For sale by the Superintendent of Documents, U.S. Government Printing Office
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SECURING THE NATIONAL CAPITAL REGION: AN EXAMINATION OF THE NCR'S STRATEGIC PLAN

THURSDAY, SEPTEMBER 28, 2006

U.S. SENATE,
SUBCOMMITTEE ON OVERSIGHT OF GOVERNMENT MANAGEMENT, THE FEDERAL WORKFORCE, AND THE DISTRICT OF COLUMBIA,
COMMITTEE ON HOMELAND SECURITY AND GOVERNMENTAL AFFAIRS,
Washington, DC.

The Subcommittee met, pursuant to notice, at 10:03 a.m., in room SD–342, Dirksen Senate Office Building, Hon. George V. Voinovich, Chairman of the Subcommittee, presiding.

Present: Senators Voinovich and Akaka.

OPENING STATEMENT OF SENATOR VOINOVICH

Senator VOINOVICH. The Subcommittee will come to order. Good morning. We have quite a panel here in front of us, Senator Akaka.

We want to thank you for joining us. Today the Subcommittee on the Oversight of Government Management, the Federal Workforce, and the District of Columbia meets for the third time this Congress to examine the collective ability of the governments and responsible authorities of the National Capital Region (NCR), to respond to a terrorist attack or natural disaster.

The National Capital Region is the seat of the Federal Government and, as the symbol of freedom in the world, remains a prime target for a terrorist attack. At the same time, the record-breaking rains the region experienced in June, which closed down streets all over the region, disabled parts of the Metro system, and closed Federal buildings, demonstrated that we must be prepared to respond to all hazards.

In June 2004, GAO released a report which recommended that the Office of the National Capital Region Coordination within the Department of Homeland Security work with local jurisdictions to develop a coordinated strategic plan to establish goals and priorities, monitor the plan's implementation, and identify and address gaps in the emergency preparedness. In addition, I believe that any strategic plan must include measurable performance goals.

At our first Subcommittee hearing in July 2005, Mr. Lockwood testified that a final strategic plan would be released in September 2005. Although a year late, I am pleased to see that NCR has developed a strategic plan to prevent, protect, and respond to a ter-

rorist attack or a natural disaster. I am also pleased to learn that it was a collaborative effort between all jurisdictions within the NCR. With a region that is comprised of many Federal, State, and local jurisdictions all playing a part in decisionmaking, it certainly makes the job more difficult. I understand how difficult it can be. As a former mayor and county commissioner, getting people together in Cuyahoga County was no easy task.

I understand the importance of both State and local officials collaboratively working together toward a unified goal. Mr. Lockwood, I look forward to hearing how you coordinated Federal, State, and local officials to complete the plan.

I am also pleased to learn that NCR worked with the Government Accountability Office to develop this strategic plan. I encourage all of you to continue this relationship as the plan matures over time. Mr. Jenkins, I am interested in learning GAO's assessment of the strategic plan and the role of your agency in the process.

I am also interested in examining specific capabilities and programs in the NCR. Based upon the last Subcommittee hearing on the NCR, it was not clear if the region had an effective, interoperable communications system. Earlier this month, my Subcommittee staff attended an NCR interoperable communications exercise, the purpose of which was to demonstrate voice communication capabilities across the region. I understand that the exercise was a success. I am pleased to know that NCR is able to communicate in a time of crisis.

I am interested in hearing from our panel how the NCR plans to enhance interoperable communications in a region to include data interoperability. I am particularly interested in it because Ohio is a leader in interoperability communications systems. They are now working on data interoperability.

Since September 11, 2001, the NCR has received significant resources for equipment, training, planning, and other preparedness efforts. At the last hearing, we discussed the development of a web-based tracking program to manage and monitor the region's Urban Area Security Initiative (UASI) grants. However, I still have concerns with the lack of information regarding non-UASI funding in the database as there is significant non-UASI funding flowing into the region. Without a central system to track all types of grants, I am concerned that it will make it difficult to priorities initiatives and lead to duplicative spending. I look forward to learning if the region plans to fully implement the recommendations of GAO to track all grant funding.

Before concluding my remarks, I would like to again recognize the hard work and dedication of all the panelists today and the first responders in the region. I know the development of the strategic plan took a great deal of work from all of you and your staffs. Your work and dedication is vital to improving the safety of the NCR.

We recently observed the 5-year anniversary of September 11, 2001. The anniversary reminds all of us of the threat that still looms to the region and the need to be diligent in every aspect of securing the NCR. I offer whatever assistance I can to ensure that you have the necessary resources to get the job done, and I assure

you that I will continue to monitor the progress in the region. It is very important to me, and I intend to stay on top of this, and so does Senator Akaka, in terms of our oversight responsibilities.

I now yield to my good friend, Senator Akaka, who has just come off a very successful primary victory in his home State of Hawaii. Senator Akaka.

OPENING STATEMENT OF SENATOR AKAKA

Senator AKAKA. Thank you very much, Mr. Chairman. It has been a pleasure working with you to pursue the completion of this NCR Strategic Plan. I want to commend you on your leadership of this oversight Subcommittee. We are fortunate that we have this ability to work together on these matters.

Today, we convene the Subcommittee's third hearing on the security of the National Capital Region (NCR), and I want to welcome our witnesses back to the Subcommittee, and I want to tell you that, from what I can see, you have made tremendous progress.

Completing a Homeland Security Strategic Plan for the NCR is a huge step forward. Bringing 14 State and local jurisdictions together and achieving consensus is not easy. However, in the case of the Nation's capital, it is necessary and I commend you for accomplishing this task.

The final version of the strategic plan is a vast improvement upon the draft documents that preceded it. However, I have a few suggestions for improvement. The first is metrics. Many of the goals in the plan are hard to measure. The second is the timeline. Most of the target dates are in 2006, 2007, and 2008. A strategic plan should look beyond 2 years in the future. So I encourage you to treat the plan as a working document so it may be continually reviewed and updated.

While the focus of today's hearing is the strategic plan, I also would like to address the issue of interoperability and the Urban Area Security Initiative (UASI) grants.

The NCR has made great strides in the area of interoperable communications. Many have asked whether first responders in the NCR have the ability to communicate with each other in times of crisis. As our witnesses will tell us, the answer is yes.

My staff attended a demonstration of the communications capability of the NCR jurisdictions in early September, and they listened as Prince George's County firefighters talked to their counterparts in Montgomery County, who talked to the D.C. Police. Press reports which State that Prince George's County is not interoperable with the rest of the NCR have oversimplified the issue. First responders from PG County can communicate with first responders in the rest of the NCR through a technical bridge, otherwise known as a patch, which takes minutes to apply. This region is far ahead of most parts of the country in terms of interoperability, which is an immensely difficult challenge. And, again, I am really praising you. You all deserve credit for that.

An area of concern for me is this year's NCR and UASI grant is the UASI grant application. This region has access to unprecedented resources and expertise, including the Department of Homeland Security's (DHS) Office of National Capital Region Coordination, because it is the Nation's capital. So I was surprised to hear

DHS say that the region's UASI application was lacking. I hope that next year it is risk and need, not paperwork, that determines the NCR's homeland security funding.

In particular, I want to ensure that the DHS ONCRC is providing adequate assistance to the region given that Members of this Subcommittee worked to significantly increase the ONCRC's budget in fiscal year 2007.

Again, I would like to commend the members of the NCR, both State and local officials, for what you have accomplished because your jobs are not easy. Many challenges lie ahead, and I urge you to continue on a path of cooperation and coordination as you have, and we look forward to still more progress. So thank you again.

Thank you, Mr. Chairman.

Senator VOINOVICH. Thank you, Senator Akaka.

We do have an excellent panel today. Anthony Griffin is County Executive for Fairfax County. Ed Reiskin is Deputy Mayor for Public Safety and Justice for the District of Columbia. Hon. Robert Crouch is Assistant to the Governor for Commonwealth Preparedness for the State of Virginia. Hon. Dennis Schrader is the Director of Maryland's Governor's Office of Homeland Security. Thomas Lockwood is Director of the Office of National Capital Region Coordination at the Department of Homeland Security. And William Jenkins is Director of Homeland Security and Justice Issues at the Government Accountability Office.

Gentlemen, it is a pleasure to see you again, and we look forward to your testimony. I would appreciate it if you would hold your comments to 5 minutes. Of course, you know that your full written statement will be entered into the record. It's the custom of this Subcommittee, if you will all stand, I will swear you in.

Do you swear that the testimony you are about to give is the truth, the whole truth, and nothing but the truth, so help you, God?

Mr. GRIFFIN. I do.

Mr. REISKIN. I do.

Mr. CROUCH. I do.

Mr. SCHRADER. I do.

Mr. LOCKWOOD. I do.

Mr. JENKINS. I do.

Senator VOINOVICH. Mr. Griffin, we will start with you.

TESTIMONY OF ANTHONY H. GRIFFIN,[1] COUNTY EXECUTIVE, FAIRFAX COUNTY, VIRGINIA, AND CHAIRMAN, CHIEF ADMINISTRATIVE OFFICERS COMMITTEE, WASHINGTON METROPOLITAN COUNCIL OF GOVERNMENTS

Mr. GRIFFIN. Thank you, Mr. Chairman.

Mr. Chairman and Ranking Member Akaka, thank you for the opportunity to speak to you on behalf of my fellow chief administrative officers in the National Capital Region on the role of local government in securing the National Capital Region.

The chief administrative officers worked in close partnership with others in the region in developing the recently completed National Capital Region's Homeland Security Strategic Plan. It is a

[1] The prepared statement of Mr. Griffin appears in the Appendix on page 29.

long-term, unified effort to improve an all-hazards approach across the region. This plan lays out our regionwide strategy for strengthening our capabilities across all phases of preparedness—prevention, protection, response, and recovery—to manage homeland security risks. It sets our course and provides a strategic approach for planning and decisionmaking.

The all-hazards approach to preparedness means we need to weigh the likelihood and consequences of a broad array of threats. These include, but are not limited to, extremes in weather, industrial hazards, viral pathogens, and, of course, terrorism that can take many forms.

Implementing the plan will be a complex process that will involve all of the National Capital Region's partners to include government as well as private and civic sectors. The NCR needs tangible programs that are aligned with the strategic plan. The region must allocate resources and find additional sources of funding to support these programs and must put in place oversight and accountability structures and processes. The Emergency Preparedness Council has assumed responsibility for implementing the strategic plan, and the chief administrative officers look forward to supporting them.

Local governments continue to lead the way in emergency response. We generally operate the same on a day-to-day basis as we do during emergency situations. Therefore, if a terrorist attack were to happen in Fairfax County, Fairfax County would be in charge of the response. If an incident took place in Prince George's County, Prince George's County would lead the way.

Local Emergency Operation Plans outline the areas of responsibility for local agencies when responding to disasters or large-scale emergency situations. These plans assign broad responsibilities for disaster mitigation, preparedness, response, and recovery to local government agencies and support organizations.

All emergency responses begin at the local level; however, when a local jurisdiction determines that it no longer has adequate resources to manage the event, the locality can request assistance from other localities through the region's mutual aid network or declare an emergency and request assistance from the State. Once the State has been notified, it will provide assistance within its capability. If the State is unable to provide the requested assistance, the governor in turn will contact the President to request a declaration of emergency and Federal disaster assistance coordinated by FEMA.

Should the region need military support, the Joint Force Headquarters-National Capital Region was established to plan and coordinate for homeland defense and civil support operations. This support would be coordinated through the Defense Coordinating Officer in the Joint Field office subsequent to a Presidential Disaster Declaration except in life-threatening situations where support would be provided immediately. We have continued to strengthen our homeland security collaboration with Major General Swan and the Joint Force Headquarters. We also coordinate with the U.S. Department of Homeland Security's Office of National Capital Region Coordination. Both of these Federal offices will help

ensure a timely response by the Federal Government to requests for assistance.

I am going to summarize my comments by focusing on the last page of my testimony.

As critical as the UASI funding is to the NCR for enhancement of the region's ability to prevent and respond, I want to emphasize that the cost of response rests primarily with the local governments. In Fairfax County alone, funding in fiscal year 2007 dollars has been allocated to the following functions which account for the majority of our first responders: Police, $162.4 million; fire and rescue, $166.3 million; sheriff, $38.6 million; Office of Emergency Management, $1.45 million; Health Department, $45 million; 911 communications, $8.9 million—for a total of $422.65 million.

Additionally, the county is currently building a Public Safety and Transportation Operations Center which will include facilities for the State Police and the Virginia Department of Transportation's regional traffic management system. The county's share is approximately $90 million. Given the county's investment in 36 fire stations, 9 police substations, and other supporting facilities, and our collaborative approach to response utilized through the emergency support functions, Fairfax County spends approximately half a billion dollars annually to give the county the capacity to respond to emergencies on an all-hazards basis.

Our companion jurisdictions in the National Capital Region are funding comparable investments according to population and geographic size.

In summary, local governments in the NCR are better prepared and more coordinated since September 11, 2001. Our ability to communicate and cooperate has been tested several times since with anthrax, snipers, hurricanes, and tropical storms. Valuable experience also was gained from sending local government teams to the Gulf Coast last year. We have made plans for pandemic flu and have completed the strategic plan. We have learned much, but know that we have much to do. We are, however, prepared to respond now and anytime in the future.

Thank you.

Senator VOINOVICH. Thank you very much. Mr. Reiskin.

TESTIMONY OF EDWARD D. REISKIN,[1] DEPUTY MAYOR FOR PUBLIC SAFETY AND JUSTICE, DISTRICT OF COLUMBIA

Mr. REISKIN. Thank you, Mr. Chairman, Ranking Member Akaka. I would like to start by requesting that, in addition to our written testimony, the strategic plan itself and the associated documents be entered into the record.

Senator VOINOVICH. Without objection.

Mr. REISKIN. I would like to start by affirming, as Mr. Griffin indicated, that we work collaboratively and in a coordinated way across the region every day. We work across jurisdictions, across disciplines, across sectors to provide for and improve the safety and security of the region. And while we have been working together for decades in the region through the Council of Governments, we

[1] The joint prepared statement of Messrs. Reiskin, Crouch, and Schrader with attachments appears in the Appendix on page 34.

certainly stepped that effort up after September 11, when the Mayor of the District of Columbia and the Governors of Maryland and Virginia came together to commit to a joint effort in securing the National Capital Region. And since that time, we have planned together. We have developed a Regional Emergency Coordination Plan. We are currently developing a Regional Evacuation and Sheltering Plan. We have trained our first responders and incident managers together. We have practiced together in exercises and many real events, as Mr. Griffin indicated. We have agreed on common standards for equipment and communications. We have jointly developed education, outreach, and alert notification systems for the public. And we have developed regional systems that are truly regional in nature, such as a disease surveillance system, law enforcement data-sharing system, water quality monitoring systems, and the interoperable communications infrastructure that Mr. Crouch will discuss.

My point is that collaboration and coordination across the region is not something new. It is something that we do every day.

The strategic plan that has been the subject of interest to this Subcommittee is just another manifestation of that collaboration, albeit it a significant one. This plan, which updates the previous strategy that we had developed in 2003, represents a significant effort of broad-based collaboration, and collaboration far beyond the stakeholders that you see sitting at this table, to identify how we should move forward to safeguard and secure the region. It incorporates learnings from a regional emergency management accreditation program assessment process from the Department of Homeland Security's National Plan Review, from our own review of our programs and capabilities.

As we have previously testified, the plan starts with a vision for a safe and secure region and articulates the mission of the many homeland security partners in the region to achieve that vision. It establishes four goals: Improved coordination, improved community engagement, improved prevention and protection, and improved response and recovery. And under each of these goals are objectives we have identified to achieve each goal, and under each objective are initiatives we need to execute in order to achieve the objectives.

Some of these initiatives, in fact, are already underway. A critical one and one that will help further shape the plan's implementation is a regionwide risk assessment. The risk assessment will analyze the threats faced by the region, take a look at our vulnerabilities and the consequences of various different threat scenarios in order to develop the risk profile of the region, both for natural and manmade disasters, which will help us to better prioritize our efforts and this plan moving forward.

Overall, the plan provides a robust framework for decisionmaking. It has the buy-in of all the stakeholders across our diverse region, and it will guide decisions, not just of funding but of policy, of procedure, of legislation, of standards. And, indeed, since we have had this plan largely in place for a while now, we have already used it. It guided our allocation of the last round of UASI funds, and we are using it to prioritize our activities now on an ongoing basis. And, Ranking Member Akaka, it is most certainly a working document, and, in particular, as both you and the GAO

have suggested, we will work to refine and improve the metrics so that we can hold ourselves accountable for improvement moving forward.

I do want to note that this plan is not an operational plan. This is not the document that you pick up when a hurricane strikes or when a bomb explodes. Jurisdiction Response Plans—in our case, the District Response Plan—are what prescribe our response. And we have all had Response Plans in place for a long time. We train our people to those plans, we exercise those plans, and we activate those plans during disasters. So I do want you to rest assured, and as I think Mr. Griffin indicated, that we have the ability to respond today. The strategic plan will help us improve our capabilities not just to respond but to prevent, protect against, and recover from disaster.

With my remaining seconds, I would like to take a moment to brag a little bit. Earlier this week, Secretary Chertoff joined Mayor Williams at the ribbon-cutting ceremony for our new Unified Communications Center, which is a brand new center off of Martin Luther King Jr. Avenue in Southeast Washington, DC, which will house—or is housing now a state-of-the-art public safety communications system and a new state-of-the-art Emergency Operations Center. This is an investment largely of local dollars, though with some Federal support, and it is really a tremendous step forward for us on bringing together all the critical communications that are needed both on a day-to-day basis as well as that would be needed for a disaster. So it is something that we are very proud of, and I invite you and your staffs to come visit it at any time.

With that, I thank you for having us here today.

Senator VOINOVICH. Thank you very much. Mr. Crouch.

TESTIMONY OF HON. ROBERT P. CROUCH, JR.,[1] ASSISTANT TO THE GOVERNOR FOR COMMONWEALTH PREPAREDNESS, COMMONWEALTH OF VIRGINIA

Mr. CROUCH. Yes, sir. Thank you, Mr. Chairman, Ranking Member Akaka. It is a pleasure to be with you here this morning and to speak to interoperability in the National Capital Region. And I was impressed that both the Chairman and the Ranking Member in their opening statements mentioned the fact that we do indeed have effective voice interoperability throughout the National Capital Region, and that was demonstrated on September 12 at the demonstration in Alexandria. That demonstration brought together 50 different agencies and responder groups from throughout the National Capital Region, including firefighters, police officers, and others from the city of Alexandria; from Arlington County; the District of Columbia; Fairfax County; Frederick County, Maryland; Loudoun County, Virginia; Montgomery County; Prince George's County, as was noted by Senator Akaka—and thank you for making that reference, Senator—Prince William County; Maryland State Police; Maryland Department of Transportation; the Virginia State Police; the Virginia Department of Transportation; the FBI; and ATF.

[1] The joint prepared statement of Messrs. Reiskin, Crouch, and Schrader with attachments appears in the Appendix on page 34.

What that demonstration evidenced was not simply that those agencies had the capacity to connect through voice interoperability, but that, in fact, they frequently do so day to day as they respond to the concerns of the people within the District of Columbia and in the Maryland and Virginia suburbs. So it is important to note that this is operational voice interoperability that we have throughout the National Capital Region.

An important aspect of that interoperability is incident command. We know that interoperability, whether it is data or voice, is not simply a matter of technology, but it is also a matter of culture. And I would echo what both Ed Reiskin and Tony Griffin have said earlier in this testimony regarding the importance of our reliance on the localities, and the localities are where these events occur and where the great credit needs to go in terms of developing these responses.

We, at the State level and at the Federal level, can say a lot and try to do a lot in terms of cooperation and coordination, but unless the localities and the first responders in those localities are committed to that cooperation, our rhetoric is for naught. And the accomplishments that have been achieved thus far in the National Capital Region and the interoperability field otherwise really are to the credit of our first responders and our local departments and agencies and local governments. But incident command is a critical aspect of that, and all of our agencies have adopted the National Incident Management System, trained to that, and practice it every day.

As the printed submitted testimony indicates, throughout the National Capital Region we have used over $50 million in UASI funding in the past 3 years to address interoperability issues. Many of those projects are included among those projects are reverse 911 systems, patient tracking for mass casualty and surge capacity, the development of the WebEOC system. The Chairman asked about data interoperability, and this is clearly our next big challenge as we move forward. We have several initiatives already ongoing in the data-sharing arena, including WebEOC, which is Emergency Operations Center to Emergency Operations Center, giving visibility of events one to another; LInX, a Law Enforcement Information Sharing System; AFIS, an Automatic Fingerprint Identification System; RoamSecure, which provides e-mail alerts via handheld devices; the National Capital Region Syndromic Surveillance Network, which is a health trend surveillance network for disease; and a Hospital Mutual Aid Radio System.

As we move forward in terms of our efforts for the National Capital Region, it is important, again, to emphasize that all of this is linked to efforts within the States and within the localities. In Virginia, we have a very robust project underway to develop a new communications system among our 21 State agencies. We call it STARS. The Commonwealth has invested $360 million in that. That effort is closely linked to what we are doing in the National Capital Region.

Additionally, we have a Commonwealth Interoperability Office that works closely with our localities, has developed a strategic plan that the Department of Homeland Security uses as a model for States throughout the Nation, and governs the grants process

for interoperability efforts throughout the Commonwealth. But all of those efforts at the State level are linked closely with what we are doing in the National Capital Region, just as the Unified Communications Center and efforts in Maryland, as well as Washington, DC, are also linked to those efforts.

Data communication is our next focus, Mr. Chairman. We obviously need to continue building that out as we have continued to build out voice interoperability.

It is a pleasure to be with you this morning, and I look forward to your questions.

Senator VOINOVICH. Thank you. Mr. Schrader.

TESTIMONY OF HON. DENNIS R. SCHRADER,[1] DIRECTOR OF THE GOVERNOR'S OFFICE OF HOMELAND SECURITY, STATE OF MARYLAND

Mr. SCHRADER. Mr. Chairman, Ranking Member Akaka, thank you for having us here today. I want to mention that implementing the plan requires focus, a fiduciary responsibility on our part, which leads to management of cost, schedule, and performance, and that is the hallmark of the implementation of this plan. The plan includes 30 initiatives with items such as designing and conducting risk-based threat analysis, which is underway as we speak; increasing civic involvement and volunteerism in all phases of disaster preparedness; and developing a common regional information-sharing and collaboration framework.

I might add that we have been working on linking our Fusion Centers, and just anecdotally, recently when the United Kingdom situation unfolded, we were doing our monthly program review meeting in Richmond, and we managed our efforts collaboratively out of Richmond. So we are very well oriented towards working together. But getting those Fusion Centers linked is very important.

The plan allows us to give strategic guidance to the practitioner community so that they can develop and execute specific projects to implement these initiatives. We have to have a system that is inclusive and transparent, and we have been developing that over the last 3 or 4 years, where we work in direct coordination with the local practitioners who guide us in implementation. And the strategic plan will give us the measures to gauge performance covering the full spectrum of activity and outcome measures that will lead us to success.

In order to accomplish all this and coming out of our original plan that we adopted in 2003, we realized that we needed to focus on program management and accountability, which is not a small task. And the Program Management Office was established in 2004 and serves as the integrated State Administrative Agent for the National Capital Region and the District of Columbia and is responsible for program administration. That process has been evolving and continues to improve. The office was established to effectively manage the more than $234 million in grants that have been given to the region.

[1] The joint prepared statement of Messrs. Reiskin, Crouch, and Schrader with attachments appears in the Appendix on page 34.

We need additional tools, and we are in the process and by the end of the year we will have a new system called the State Preparedness Administrative Response System—the acronym is SPARS—which will allow us to do web-based project management through a web portal, and we are hoping that will migrate to the States.

The Program Management Office is charged with implementing the strategic plan. It has a critical role in developing the processes, the methodologies, and tools to ensure that projects are completed on schedule and within budget. And there are monthly reviews of these projects.

The projects are managed by sub-grants to the local jurisdictions which requires a significant amount of energy, time, and effort by the local jurisdictions, who also have day jobs. And we are sensitive to the fact that the Program Office has to work collaboratively, and it is quite an undertaking.

In addition, the chief administrative officers who have shouldered the burden for being responsible for project implementation regularly review these projects, as we do, and we are focused on making sure that they are on time, and if not on time, we have a reprogramming process that reviews what backlog of projects could be moved up on the queue to move the program along.

Last, I will mention that we are also very focused in this process of integrating Maryland, District of Columbia, and Virginia programs in the seven fundamental areas of homeland security, which include public safety communications, information sharing and intelligence, law enforcement, transportation security, emergency preparedness, health and medical, and critical infrastructure protection. I would add that, for example, in our transit grants, we have one committee which manages all the Maryland and NCR grants collaboratively because of the feeder systems that come from Maryland and Virginia into the District, and that has been very successful.

Probably our greatest challenge is the execution of project management and our fiduciary role in that, and we take that very seriously. And it is ongoing week by week. We have weekly conference calls where we focus on this on a week-in and week-out basis. Thank you, Mr. Chairman.

Senator VOINOVICH. Thank you very much. Mr. Lockwood.

TESTIMONY OF THOMAS LOCKWOOD,[1] DIRECTOR, OFFICE OF NATIONAL CAPITAL REGION COORDINATION, U.S. DEPARTMENT OF HOMELAND SECURITY

Mr. LOCKWOOD. Mr. Chairman, Ranking Member Akaka, thank you for the opportunity to come to discuss our efforts. The last time that we met, the Subcommittee raised a number of questions and concerns regarding regional coordination and the status of the strategic plan. Per your recommendations, we have worked very closely with GAO on several occasions for advice, input, and to discuss key recommendations.

As you have heard from my State and local colleagues, we have made significant progress in the National Capital Region, beyond

[1] The prepared statement of Mr. Lockwood appears in the Appendix on page 204.

the plan itself, but also the fundamentals that go within the plan. The centerpiece of this effort, in fact, is the strategic plan that is complete, and I join Ed Reiskin, my fellow members of the SPG, and our local government, in submitting this plan for the record. The plan has three parts: The Core Plan that provides the overall strategy goals and objectives; Volume II, which is the detailed practitioner-level information; another piece is the overview briefly summarizing key points of this for the lay personnel.

The completion of the plan is a significant milestone. In reviewing our homeland security plans, including those supplied by GAO, it is clear that this plan is unprecedented. Our region is complex. We have multiple jurisdictions. We have multiple challenges and organizations here which we detailed in the last testimony. As you can appreciate, any catastrophic event, whether natural or human-caused, respects no boundaries. When coupled with the geopolitical complexities in the NCR, we can appreciate the significant challenges in this region. Completion of this plan required significant investment of resources, time, and focus at all levels—public and private. It has been unprecedented, and they have built a strong, long-term plan.

The plan is a 3- to 5-year plan for managing risk and strengthening homeland security. The 3-year phase of the plan looks at the programming, budgeting, and execution, but provides an overall planning framework for the next 5 years. It sets forth clear strategic goals, objectives, specific initiatives to make the NCR safe and secure. It provides a means to gauge the region's progress and over time to make informed adjustments to the strategy.

The NCR partners went to great lengths to align the details of the plan with large numbers of planning documents, guidance, and recommendations from GAO on various assessments. While assessing risks and identifying vulnerabilities and understanding their consequences are critical to determining what needs to be done, the fundamentals of collaboration, coordination, and information and resource sharing are the principal means of how to build and sustain these capabilities in the region. The plan serves as a road map for strengthening these capabilities and enhancing the capacity to realize this vision over time.

In March, we reported that the final plan was delayed in order to take into account results and outcomes of the Emergency Management Accreditation Program assessment and DHS's National Review Plan. Since that time, all of the jurisdictions have completed the regional assessments. This is the first time in the Nation that this assessment has been applied in a regional context.

The process demonstrates that jurisdictions or in this case multiple jurisdictions, are aiming to use its resources to provide these capabilities, and it truly is revolutionary what was done here. This was discussed recently with the National Emergency Management Association truly as a precedent.

Additionally, in June, the Department completed the National Plan Review and provided post-Katrina recommendations and assessments. The results of these have been included in the plan.

In moving forward, we have talked about the framework that has been established to execute the plan. A team, collaborative, bottom-up approach that we will use to continue to develop and promote

the culture in the region. We will continue to enhance our coordinated approach for communications and interaction amongst the stakeholders for more effective prioritization and execution within the region.

We will update this plan on an annual basis to reflect changes in conditions. It provides the region with a common framework to coordinate and implement.

In closing, the plan is the outcome of a long, comprehensive, collaborative process. It is part of the long-term regional picture of preparedness efforts. The region continues to work well, working across as peers and stakeholders within the safety for the National Capital Region.

Senator VOINOVICH. Thank you, Mr. Lockwood. Mr. Jenkins.

TESTIMONY OF WILLIAM O. JENKINS, JR.,[1] DIRECTOR HOMELAND SECURITY AND JUSTICE ISSUES, U.S. GOVERNMENT ACCOUNTABILITY OFFICE

Mr. JENKINS. Chairman Voinovich, Ranking Member Akaka, I am pleased to be here today to discuss the National Capital Region's recently completed strategic plan. We first recommended in 2004 that the NCR create a strategic plan. A coordinated strategic plan, appropriately implemented, is fundamental to ensuring that the region as a whole is prepared for the risks and hazards it faces. To be effective, the plan must be a living document that is used as a guideline and road map for funding and implementing initiatives to build and sustain needed emergency preparedness and response capabilities within the region.

In our testimony last March, we identified six desirable characteristics of strategic planning that we suggested should be embodied in the NCR Strategic Plan, and the completed plan includes all six. These characteristics reflect three basic principles: One, the inclusion of a clear statement of what is important and why; two, identification of resources to achieve the identified goals and objectives; and, three, the establishment of performance measures and accountability for monitoring progress and achieving key goals and objectives.

The plan's structure is more streamlined than previously and includes three basic parts: An overview, a core plan, and a detail appendix with initiatives and information on such things as risk, cost, roles, and responsibilities.

The plan is a noticeable improvement over prior documents and more clearly defines the roles and responsibilities of various groups responsible for developing, revising, and implementing the plan. Although the completed plan is a noticeable improvement, the substance of the information in the plan could be improved. Two examples:

First, the plan does not reflect the results of the comprehensive risk assessment for the region. Completion of such an assessment, which is underway, using a common framework as a priority initiative in the plan and should be completed as soon as possible. When this more comprehensive assessment is completed, it may indeed require revisiting some of the plan's priorities.

[1] The prepared statement of Mr. Jenkins appears in the Appendix on page 208.

Second, although the plan defined objectives as being key, measurable milestones for each goal, performance measures for a number of objectives are stated in rather vague terms, such as "enhance," "improve," "increase," or "strengthen." Although the plan includes outcome measures, a number of its measures are activities, such as number of registered volunteers.

The plan identifies 30 initiatives with the leads dispersed across a number of organizations. It will be essential that the activities of the various lead organizations are well coordinated and that they have the authority, resources, and mechanisms to carry out their lead responsibilities effectively. Moreover, there is a potential gap between the estimated cost of the plan's initiatives, about $100 to $150 million, and the resources that may be available to the NCR and its member jurisdictions from Federal sources. This year, for example, the NCR received about $100 million less than it had requested for its Urban Area Security Initiative grant. Therefore, the plan should recognize that if the plan's initiatives are to be implemented on schedule, especially the 18 scheduled for completion in 2007, NCR jurisdictions may need to contribute more than originally anticipated toward their completion.

As has been noted, the NCR is not an operational entity, but the result of implementing the NCR Strategic Plan must be effective regional operational capabilities. Thus, it is essential that the operational plans in member jurisdictions align with and support the NCR strategic goals and objectives.

In conclusion, Mr. Chairman, the NCR has made noticeable progress in developing its first strategic plan. Although we have identified limitations that should be addressed, the challenge now is one of effective implementation. This includes careful monitoring of initiatives and ongoing assessment of the plan's success in achieving needed capabilities and operational plans. The goal must be the region's collective ability to protect against, prepare for, and respond with effective, well-planned, and well-coordinated actions that will save lives and mitigate the effects of a major or catastrophic disaster in the region.

That concludes my statement, Mr. Chairman. I would be pleased to respond to any questions you or the Ranking Member may have.

Senator VOINOVICH. Thank you very much.

Mr. Schrader, you mentioned that the NCR has received more than $234 million in grants. Mr. Griffin, you also mentioned that in your respective jurisdictions you are spending a lot more money than you had originally anticipated.

I would like to know the numbers from your respective jurisdictions in terms of the amount of additional money that you believe you are spending that is attributable to this new challenge since September 11, 2001. We are trying to get this information for the Department of Homeland Security. It is a significant sum of money, and it is interesting to know just what we are doing to protect the homeland and the NCR.

Mr. Jenkins, the issue always is are we going to be able to measure success. From an oversight point of view, 6 months from now if we had a hearing, what are the measurements that we would use to determine whether or not things are on track in the NCR?

Mr. JENKINS.Well, I think as we say in our statement, one of the things is as these initiatives are put forward, the way you are going to be able to measure progress is that the initiatives have themselves specific measures that are a little bit—definitely more specific than "strengthen" or "enhance," as well as the objectives. So you know that this initiative is designed to get you to a certain point, and it should be focused on capabilities, the capabilities that you are gaining by being able to do this. And that means that you have to have, first of all, a notion of where I want to go, what is the end goal that I want to get to, some notion of where I am relative to that goal and how much this particular initiative or combination of initiatives is going to help you close that gap.

Senator VOINOVICH. Mr. Jenkins, are there measurements in the plan right now that we can look to?

Mr. JENKINS. There are a mixture of measures, and there are outcome measures. We think that there—as I said in my oral statement, there are things where they really can focus a little bit more on things that are quantifiable measurements. They should not be so much activity measures. They should be essentially outcome measures to the maximum extent possible. And they do have some outcome measures, but we would be happy to—we have pointed out to them in an oral briefing that we had on our assessment where we think some of the measures can be improved.

Senator VOINOVICH. Mr. Reiskin, you are an appointee of the mayor. Are you civil service?

Mr. REISKIN. I am not. I serve at the pleasure of the mayor.

Senator VOINOVICH. The District of Columbia is going to have a new mayor. Has consideration been given in the event that they bring in somebody else that there is going to be a baton transfer?

Mr. REISKIN. Well, I guess all I can say is both the current mayor and the presumptive mayor-elect have both said to each other and publicly that they are both absolutely committed to a smooth transition in all areas, but particularly including this one. And I actually was recently appointed interim city administrator for the District, and the one thing the mayor said to me was, "What I need you to do is ensure that the transition is smooth." So I think that the commitment is clearly there on both sides to ensure that happens.

Senator VOINOVICH. Do you have reliable people working with you that are civil service?

Mr. REISKIN. Yes. The majority of the government, of course, is in a civil service or protected position. It is really just the top layer that is not.

Senator VOINOVICH. Are all of the other people in front of me appointed, with changes in administration? When I was governor, I would tell my folks that you have got to have somebody who can takeover if something happens to you. You have all thought about this and are prepared?

Mr. REISKIN. And we have recently, in Virginia, gone through a transition where the person that we worked with on a day-to-day basis moved on, a new governor came in, and I would say that we really carried on without skipping a beat in terms of coordination across the region. So I expect that would continue.

Senator VOINOVICH. Great. From my perspective, you all get along together. You can have the best plan in the world, but if folks do not get along then you are in trouble. But if everyone gets along then you have a wonderful opportunity to be successful.

Senator Akaka, we will have 5-minute rounds.

Senator AKAKA. Thank you very much, Mr. Chairman.

Mr. Reiskin, on September 17, the NCR held an exercise to test the region's ability to evacuate Metro transit system after a bomb exploded. That was the scenario. One capability tested was whether first responders could communicate if radio equipment in the Metro tunnels was knocked out.

Will you please share what worked, what did not work, and what procedural changes have been made since the exercise?

Mr. REISKIN. Certainly, I will try, Ranking Member Akaka. One of the objectives in the exercise was to take down the communications system. That was the purpose of the exercise, to test what the response would be.

What worked was our radio cache. With our Federal dollars we purchased 1,250 radios that are deployed across the region, that are all programmed in the same way so that when direct or patched communications do not work, for whatever reasons, a reason like this or because something is coming in from the outside, we have ways to interoperate and communicate. That cache was deployed, and I would say that aspect of this worked. A temporary repeater was brought down into the tunnel to enable the radios to work. That part worked.

What I think did not work was the communication between the radio cache radios and the Metro system radios that were brought back up when the repeater was put down. And it was not a technological issue. It was a matter of the programming of some of the Metro radios. As I think Mr. Crouch indicated, often the technology is not the issue. We can do virtually anything voice-wise to connect people. But protocols have to be in place, radios have to be maintained, and my understanding is that the fleet maps, how the different channels on the radios were set were not consistent such that people could find each other from a cache radio to a Metro radio.

That is my understanding. I think they are still doing an after-action review, but, clearly, one of the lessons that will come out of that—and I would imagine it is happening already—is to ensure that all of the fleet mapping of all the radios are up-to-date. One of the things our new Unified Communications Center houses is our radio function, and we, within the District, have centralized that to make sure that we maintain our radios and keep them up-to-date. That is a piece of making sure interoperability across the region works.

Senator AKAKA. Thank you. I would like—and I should have mentioned it—to hear from Mr. Crouch and Mr. Schrader on the same question.

Mr. CROUCH. Thank you, Senator. I certainly would agree with Mr. Reiskin's assessment. I would also point out that one use of the radio caches that he mentioned—and we have three of those that have been purchased through the UASI funding throughout the National Capital Region—is to have radios that are available if

folks were to come from Richmond or Baltimore, for example, to assist in an event and we would have those additional radios available. But it is important to note that those radios are not just used in an exercise such as the recent Metro exercise, but they are used on events like the 4th of July and other events regularly in the region. So we make sure that the maintenance is up-to-date in that regard.

Senator AKAKA. Mr. Schrader.

Mr. SCHRADER. Yes, Ranking Member Akaka. I also wanted to add that one of the things that the development of this plan has done for us is it has brought us much closer to the WMATA leadership. Mr. Tangherlini has made it his business to get engaged. We have worked collaboratively. In this past grant cycle, for example, we are investing $3 million in improving and upgrading the communications elements down in the tunnels. So we recognize that the WMATA asset is an asset for the region, and each of our jurisdictions has a major stake in that. And these exercises are funded through this process, and quite frankly, it is good that we are finding these things in the exercises.

So I think that as a takeaway it is actually—it did what it was supposed to do. It highlighted where the gaps might be, and we are going to be able to fix them.

Senator AKAKA. One interesting comment that was made by Mr. Reiskin—and I just want to ask you to expand on that. You used the word "protocol" as possibly a problem. Can you explain what you mean by that?

Mr. REISKIN. The technology of interoperable communications is fairly well developed, and I think within the region we are fairly advanced in it. But if we do not have agreement and understanding of when an incident happens this is the channel we are going to go to, or we do not have the protocols in place to be able to communicate that information, or if the fleet map on the radios in the District are different than where they are in Arlington and I am not keeping up with their changes, then all the technology in the world will not help us. We need to have those protocols clearly laid out, exercised, and understood. And then we have to maintain the system such that the protocols can be successfully implemented.

And, frankly, in exercises we have all the time, we find glitches where somebody has changed a channel on the radio that, if people were going to try to converge on that channel to talk, they would find that they could not.

So it takes quite an effort to make sure that the radio systems are maintained and that the protocols are in place. But, fortunately or not, we get a lot of practice in using the cache during major events or radio systems during any kind of mutual aid event. So we have kind of a constant feedback cycle built in to make sure that our protocols are in place such that the technology can be effective.

Senator AKAKA. Thank you for that. Mr. Chairman, my time has expired.

Senator VOINOVICH. In the testimony you discussed risk assessment. I would suspect that each of you in your own respective jurisdictions have done your own risk assessments. Is that true?

Mr. REISKIN. Yes.

Senator VOINOVICH. Mr. Lockwood, are you looking at the whole region and prioritizing according to risks in the region?

Mr. LOCKWOOD. One of the outcomes of the EMAP assessment was a shortcoming of the true understanding of the integrated risk, and I believe that was picked up by the GAO testimony. The region has coordinated amongst itself to do a common risk assessment to pull in the various types of risks, whether they be the environmental risks, or all-hazard risks, to get a better understanding of the priorities and potential gaps. That assessment has already started, and we are actively engaged in that task now.

Senator VOINOVICH. Does the Department of Homeland Security have some really good way of measuring this? For example, after the recent risk assessment there was a lot of moaning and groaning that people were not getting the money that they needed. Do you think that the tools that you have to look out there and ascertain the risk is adequate? Are you the one that is doing risk assessment for the region? Are all of you sitting at the table together and developing your own type of assessment based on your experience? How does that work?

Mr. LOCKWOOD. We as a community—and what you have heard a number of times today is the word "partners"—whether that is the public or private partnership that we have, the local government, State, Federal, coming together to write a joint statement of work that we agree with for a risk assessment to be done.

Part of my responsibility to the group is to reach out to those within the Department of Homeland Security that are risk experts and to make sure that they actively participate in this effort. For the Department this is truly a regional effort that is bringing in multiple perspectives beyond terrorism but including all hazards.

Senator VOINOVICH. So you are taking advantage of the expertise that is at the Department of Homeland Security and then adding some things based on your own experience?

Mr. LOCKWOOD. Right.

Senator VOINOVICH. You are going to have that done when?

Mr. LOCKWOOD. What is the timeline? Is it 6 months?

Mr. REISKIN. It should be done the end of January 2007, so within about 4 months.

Mr. SCHRADER. Mr. Chairman, could I add something to that?

Senator VOINOVICH. Sure.

Mr. SCHRADER. Let me give you an example of how it really works in a practical way. In Maryland, we have been working on maritime risk. We put a strategic plan together working with our Area Maritime Security Committee, and we have brought that to the group and said we need to be thinking about maritime risk. And people have said, Virginia has got concerns in Norfolk, we have concerns. We then said, we need to get together on this and really integrate these risks.

So as a practical matter, it is working, and we need to have our own focused areas. For example, Maryland has a significant stake in the Chesapeake Bay and up through Maryland's Port of Baltimore, the Bentley Port. But until we actually come together and put it on the table, we may not get the benefit.

Now we have put it on the table. We are going to be working on that, and those are the kinds of practical things that we are working on together.

Senator VOINOVICH. The Metro system has asked for an authorization of $1.5 billion. Are you familiar with that request?

Mr. GRIFFIN. Mr. Chairman, you said a billion and a half?

Senator VOINOVICH. Yes.

Mr. GRIFFIN. Yes, that is a request oriented towards maintaining the system so it can continue to handle its current passenger load.

Senator VOINOVICH. You are fairly familiar with it then, Mr. Griffin?

Mr. GRIFFIN. Somewhat familiar. Fairfax County is a funding partner.

Senator VOINOVICH. Is a portion of that going to be attributable to dealing with homeland security?

Mr. GRIFFIN. No, sir.

Senator VOINOVICH. It is not. It is just strictly to guarantee the system can operate.

Mr. GRIFFIN. Maintenance, can continue to operate at the levels it is operating now.

Senator VOINOVICH. Separate and apart from things that you need to do from a technology point of view in terms of threats of terrorism.

Mr. GRIFFIN. That is correct. However, as has been noted earlier, WMATA has been working with the CAOs and with the Senior Policy Group to identify critical issues from a security perspective, and where we have had the capacity financially to support that, we have done so.

One example related to enhancing communication in the tunnel system. The other priority is having a duplicate or back-up operations center for the Metrorail system, something they have not been able to fund with their normal budgetary allocation. And we are working with them to support that as well.

Senator VOINOVICH. At our last hearing in March, we talked about the tracking of non-Urban Area Security Initiative grants in the region. Could any one of you describe in detail what the region has done to assure the Subcommittee and the people within the NCR that the non-UASI funds that are being spent in the region are being spent in a coordinated, transparent fashion?

Mr. SCHRADER. Yes, let me start with that, Mr. Chairman. In our testimony, we talk about the regional program working groups that we have established, and particularly in the area of training and exercises, critical infrastructure, just to name two, and health and medical. What those groups are tasked with—and let me just be specific; the individual who chairs our critical infrastructure program and the individual who chairs Bob's critical infrastructure, and also Ed's, all work together on this working group, and their charge is to integrate the three programs. So the money we——

Senator VOINOVICH. So there are many pots of money?

Mr. SCHRADER. Yes.

Senator VOINOVICH. And you are all familiar with the pots of money that each of you have.

Mr. SCHRADER. Absolutely.

Senator VOINOVICH. In each State and the District.

Mr. SCHRADER. Right. In Maryland, we have over $400 million over 5 fiscal years, which includes the central Maryland urban area, health and medical from HHS. So we have a high-level overview.

Senator VOINOVICH. You look at the money so everybody knows where it is and then try to figure out how could it benefit somebody else so you do not have a duplicate situation?

Mr. SCHRADER. I will give you a very specific example around Prince George's County. We have a governance group in Maryland that oversees interoperability. They have an over $60 million initiative in place to put in a 700-mega-hertz system. Governor Ehrlich is investing $10 million a year in building a backbone statewide.

We coordinate that, and in coordination with the NCR, we have gotten some additional money, almost $1.8 million from the NCR to contribute to that. So it is all integrated into one project, and with these multiple sources of money that are going toward the project. That is just one example.

Senator VOINOVICH. Senator Akaka.

Senator AKAKA. Thank you, Mr. Chairman.

Mr. Reiskin, we have heard in previous hearings that the District has extensive evacuation plans in case of emergency in Washington, DC. Earlier this year, the city experienced significant flooding, which shut down the Metro, gridlocked the traffic, and made some parts of the city inaccessible.

So my question to you is: Did you exercise any portion of the evacuation plan during the flood? And if so, please specify what actions you took and what you learned from it?

Mr. REISKIN. No, we did not exercise or activate any aspect of the evacuation plan because we were not, in fact, trying to evacuate the District or the downtown. However, the management of traffic during that situation—there were some roads that were flooded. There were, I guess, some disruptions on Metro. The management of the traffic during that situation, even though we were not evacuating, did not work as well as it should. We had some coordination issues between our transportation and police departments that should not have happened. And I think we could have done that a lot better.

So it was not an issue of the evacuation plan working or not, but there were definitely some fairly easy lessons learned from that that we ensured when Hurricane Ernesto came through, we were prepared to ensure those would not happen again.

Senator AKAKA. I asked that question just to see whether the evacuation plan could have been applied there. As you said, you did not, and yet I guess it will take some of these disasters that come up for us to try the plan out and see how it works.

Mr. REISKIN. If I may, we actually have twice now, on the last two 4ths of July, activated—at least a partial activation of our evacuation plan, and I can tell you that this past July 4 it went a lot better than the first because of the lessons we learned from the first. So that is one way that we can actually test the plan and a way that does not inconvenience people. As a matter of fact, it actually conveniences them because it allows people to get out more quickly. But unless it is our goal to get people out of the city quickly, which is not our goal every day at rush hour and it was

not our goal during that flooding, we cannot test the evacuation plan per se.

Some of the mechanisms that we need, such as traffic monitoring and deploying intersection control officers, are common to both, and that is where there are learnings from these other kinds of events that will, in fact, enhance our evacuation planning, although we are not activating the plan itself.

Senator AKAKA. Thank you.

Mr. CROUCH. Ranking Member Akaka, may I add a response?

Senator AKAKA. Mr. Crouch.

Mr. CROUCH. I believe it was mentioned earlier in the testimony that we are currently undertaking a new evacuation study for the region in cooperation with the Department of Homeland Security. We hope that, taken with the risk management study, will help inform our strategies additionally.

And I would like to add that while our core focus from the Senior Policy Group perspective is the National Capital Region, we also recognize that what happens here and what we do here in response to events can potentially impact other parts of the country, and certainly the Mid Atlantic Region.

Many of us participated earlier in the summer in a conference on evacuation that was held in West Virginia. There were representatives of eight States as well as the District of Columbia at that, including, Mr. Chairman, from the State of Ohio, to discuss issues focused on events in the National Capital Region and how those would impact out into other areas of the Mid Atlantic and West.

So I just want to point out that our efforts here in the National Capital Region are not simply limited to Maryland, Virginia, and the District of Columbia, but we are also coordinating and have a very active dialogue with other States.

Senator AKAKA. Let me just further ask the question that I asked Mr. Reiskin about that flood. Did you, Mr. Schrader, make an effort to see how you would be able to help the District of Columbia during the flooding?

Mr. SCHRADER. Yes, I specifically spoke to Mr. Reiskin during the flood and asked him—because they had declared an emergency. I have his cell phone number, and I called and offered assistance. He indicated that because of the water table here in the District around those areas, often basements would flood and it would cause problems with buildings, but at that point in time they did not need our assistance from Maryland. So we talked as the situation was ongoing.

Senator AKAKA. The reason I asked about the flood is because it was an unplanned natural disaster as opposed to something that you can see coming, such as a planned or simulated event.

Thank you, Mr. Chairman. My time has expired.

Senator VOINOVICH. Is there an NCR intelligence network or joint task force?

Mr. CROUCH. Yes, Mr. Chairman, we have Fusion Centers in both of our States, and as mentioned, now the Unified——

Senator VOINOVICH. Is that what it is called, a Fusion Center?

Mr. CROUCH. Yes, sir.

Senator VOINOVICH. It is where all of the local and Federal groups are continuing to get information and sharing it with each other so you have something that is dynamic?

Mr. CROUCH. Yes, sir. It is an intelligence-gathering and analysis function, and in Virginia, it is led by our Virginia State Police and our Department of Emergency Management as partners with other State agencies, local law enforcement, and Federal agencies.

Senator VOINOVICH. From your perspective, how is it working?

Mr. CROUCH. Well, the Fusion Center concept is relatively new at the State level. We just stood ours up in Virginia at the beginning of this year. It is working well thus far. As in many other cases, it is an area where we need more resources, more analysts at the State level. We have had a very active dialogue with the Department of Homeland Security and the National Geospatial-Intelligence Agency regarding those partnerships, and we are hopeful that they will develop.

Senator VOINOVICH. You have one in Virginia and Maryland. Mr. Reiskin, do you have one here in the District?

Mr. REISKIN. We are actually in the process of standing up a Fusion Center. We have been working for the last 6 months or so with the Department of Homeland Security and the Washington Field Office of the FBI, and we are fairly close to being there. We have the functions in place. We have analysts in place. We have a very strong working relationship with the FBI through the Joint Terrorism Task Force. But our actual center will be up in the next 6 months.

Senator VOINOVICH. What I think about is that through the intelligence network you find out that something is going to happen and how quickly that information can get to the NCR and trigger that so that you have a response.

For example, on September 11, 2001 there was information about a plane still in the air, which was the plane that went down in Pennsylvania. I do not know when we finally got information about the plane, but everybody was evaculated. I will never forget that day as long as I live. But it would be interesting to know how soon did that information get out, and what was done to respond to it. Do these Fusion Centers put you in a much better position than if you had a repeat of that day, you would be able to react to it in a much quicker way?

Mr. REISKIN. I would say generally yes, although in some ways there are slightly different issues, both of which we have prioritized within the strategic plan. On the intelligence side, it is often more on prevention and gathering global intelligence, local intelligence, assessing our threats to figure out where we need to focus our resources, what we need to exercise. And as Mr. Schrader mentioned, we are working to link our Fusion Centers, to fuse our Fusion Centers, so that we are part of the network nationwide that goes up to the Federal Government, down to the local governments, to be able to process all that information to be able to prevent things from happening.

We have also been working on this alert notification issue, so when there is an emergent event, we can get the information either down from the Feds, up to the Feds, and out to the people who need to know that. That may or may not be a function within the

Fusion Center. The emergent threat may go more through our Emergency Operations Center, and those centers, as Mr. Crouch mentioned, are now linked multiple ways, including through the interoperable data systems.

Senator VOINOVICH. A couple times, the NCR airspace has been violated and we were evacuated. With that kind of information, how fast was that information translated to the NCR? And it gets back to your assessment. What are you going to do under those circumstances? I am pleased to know that you are continually exercising your interoperable communications.

Mr. CROUCH. Mr. Chairman, I would mention, too, that we do have—and this has been funded through the Urban Area Security Initiative funds—in the National Capital Region a system we call the Regional Incident Communications and Coordination System—RICCS is what we refer to it as—and that links all of us as well as folks at the local level in the region and in Federal agencies. Through the pager system and other methods, we get very quick notification of events as they are developing in the National Capital Region.

Senator VOINOVICH. How much have we spent to secure the Capitol complex? I am working on trying to get a dollar figure, and it has been very difficult. Senator Akaka, you might be interested. I am trying to get how much have we really spent on the bollards. There is speculation that the green bollards cost $30,000 apiece. I hope that is not true. Is the District involved at all? We have all these hydraulic barriers that have been built, and we have closed off streets. Does the District have anything to say about it?

Mr. REISKIN. The answer is—who is in charge of the security of the Capitol? It is the U.S. Capitol Police, and their jurisdiction is, I believe, statutorily defined and it actually extends beyond the immediate grounds. They report, as you probably know, to a Police Board, which are the Sergeant at Arms of the two Houses, as well as the Architect of the Capitol. And my understanding is that the decisions about bollards and pop-up barriers and the like are generally made by that board.

Most of those decisions have happened without consultation with the District, and sometimes in the face of opposition from the District, because while we certainly respect and understand the need to protect these grounds, overprotection can inhibit our ability to respond to events and the needs of the citizens and residents and people who work in the District.

That said, we try to work as closely as we can, the Metropolitan Police Department and the U.S. Capitol Police work very closely together because they are obviously——

Senator VOINOVICH. So you have knowledge of the bollards and street closings before they happen? Or they just go ahead and do it and you find out about it afterwards?

Mr. REISKIN. In some cases, the latter has happened.

Senator VOINOVICH. Do you think that communication could be improved?

Mr. REISKIN. I think it has improved. It could probably be improved more. But ultimately they have, I believe, statutory authority to do some of these things, and I do not think they need to ask our permission, let alone consult with us. But we work to build re-

lationships on the ground level, the street level. There is very good coordination between the police forces, but the decisions of the Police Board are their decisions, and I think they have the authority to make them unilaterally.

Senator VOINOVICH. Senator Akaka, it might be a good idea that we have a hearing on how the Capitol Police work with the other police in the NCR. I know we had a hearing about 4 or 5 years ago dealing with that issue. There are several police forces that we have here. I think that the recent incident where a man drove into the Capital complex and climbed the steps and was in the Capitol with a firearm makes you ask yourself, really how secure are we?

Who is in charge of securing the White House? The Secret Service? Do they have a geographic area where they are in charge of deciding what they are going to do?

Mr. REISKIN. Yes, that is correct. And I do not know if theirs is statutorily——

Senator VOINOVICH. Like Pennsylvania Avenue, right in front of the White House, it is closed off. I wonder how that closing fits in with traffic patterns and moving people in and out of the city.

Mr. REISKIN. Right, and that example, we have formally requested the reopening of Pennsylvania Avenue and of E Street. Ultimately, it is Federal property—or it is surrounded by Federal property. And, interestingly, Pennsylvania Avenue right in front of the White House is still District property, although they have closed it off. They own the sidewalks. We own the street. It is a little bit of a complicated situation.

But operationally on the ground, I want to assure you that both with the Secret Service and the Capitol Police that our police work very closely with them because anybody who is trying to get in here has to come through the city. So if our police were alerted to something happening, they are in direct communication with the Capitol Police.

Senator VOINOVICH. Thank you. Senator Akaka.

Senator AKAKA. Thank you, Mr. Chairman. I agree with you. I think we need to look into a possible hearing on that.

Mr. Schrader, your testimony mentioned the usefulness of Citizen Corps Councils in Maryland.

Mr. SCHRADER. Yes, sir.

Senator AKAKA. And what interests me is that this expands the parameter beyond government and to the citizenship.

Mr. SCHRADER. Yes, sir.

Senator AKAKA. The only way for this country to be truly prepared for a disaster is to improve individual citizens' preparedness. Yet I have been concerned that the Citizen Corps program is not utilized or supported as well as it could be.

The question is: Based on your experience in Maryland, how can the National Citizens Corps program be improved? And is there anything that Congress or DHS can do to improve Citizens Corps at the Federal level?

Mr. SCHRADER. Well, in Maryland, Governor Ehrlich is very pleased with the Citizen Corps Council. We actually were the first State in the Union to have a Citizen Corps Council in every county in our State, and that was over a year and a half ago. Tomorrow, we are actually having our first statewide Citizen Corps Council at

the Maryland Emergency Management Agency, so there is a commercial for tomorrow's conference. And we are reaching out.

What really needs to happen is you have to have the emergency directors in the local jurisdictions embracing the Citizen Corps Councils. You have to have the CERT programs, the Citizen Emergency Response Teams, brought into that. And the other thing that needs to happen is you have to have a very clear mission for these folks who are trained because there is a concern, for example, within the professional public safety community that we do not want to train people who are going to suddenly show up at the scene of an incident now because they have gotten a couple days' worth of training.

We are also talking to our folks, as you know, Health and Human Services has a requirement for pandemic planning. Our thinking in Maryland is that in the event of a pandemic, you are going to have a situation where you are going to need citizens in local jurisdictions. You are going to need local response capability.

So we are trying to weave all this together. We also believe that the community colleges—Governor Ehrlich has put a tremendous amount of money into community colleges in these past 4 years since he has been in office. We believe that is a platform because a lot of what has to happen here is nonresident continuing education for adults. And that is another thing. So we have linked the community colleges also.

So there are some techniques. The States are uniquely positioned to drive this. A lot of what is going on at DHS with the Ready.gov program as well as the National Preparedness Month program give us the framework, but it is really fundamentally a State and local responsibility to drive this. And we are having a lot of success, so we think it is a very worthwhile program.

Senator AKAKA. My question was what can Congress and DHS do on a Federal level, but I understand what you are saying, that primarily it is a State——

Mr. SCHRADER. I think you have done a lot already. By creating the framework and providing the framework of resources and the program and the national websites and those sorts of things, you have enabled us.

The thing about empowerment, you have empowered us to deliver. Empowerment is a two-way street, so it is our job to deliver the results on the emergency management performance grant, and we appreciate the fact that you have empowered us in that way, and we are taking—we have to take the effort to move it ahead.

Senator AKAKA. Thank you.

Mr. Lockwood, a recent *Washington Post* article reported that DHS allocated additional funding and personnel to the Office of National Capital Region Coordination in recent months. It is my understanding that your office received approximately $30,000 from the avian flu supplemental, which clearly would be insufficient to fund any additional staff. So I have two questions for you.

One, what was the avian flu funding used for? And did your office receive any funding or personnel in addition to that $30,000?

Mr. LOCKWOOD. Yes, sir. As discussed by Director Schrader, what we try to do is collaboratively pool our resources. The $30,000 resources for avian influenza is going to support the credentialing,

the identity management capabilities of first responders, in particular the health care community. That is leveraging some of the other work that we are doing on identity management and credentialing of first responders to the health community.

With regard to other resources, I understand that there are resources available through the chief medical officer's shop. We will coordinate that with our State and local partners through ESS 8 and 6 for prioritization of those and, again, the strategic plan will provide part of that framework.

Senator AKAKA. Did you receive any personnel assistance as well in this?

Mr. LOCKWOOD. Again, currently this year we have three full-time positions assigned to the office. We have had several detailees that have come to the office from TSA, and the Department of Defense again, Joint Forces Headquarters, National Capital Region. General Swan has been a great partner, again, trying to make this coordination between homeland security and homeland defense more seamless. We have been actively leveraging and working with the general.

Senator AKAKA. Mr. Lockwood, the budget for your office will increase over 100 percent next year. How will those additional funds be used? Do you have an idea?

Mr. LOCKWOOD. Yes, sir. Right now there are a number of coordinating bodies that we cannot devote full-time personnel to, in particular both with the fire, law enforcement, emergency management communities. In some cases, we sit in the coordinating meetings by exception rather than as a matter of process, which we believe we should. Those resources will ensure that we are coordinating there.

Another piece that you have heard today is the discussion with regard to protocols. Part of the effort needs to be coordinated protocols, and you will see within the strategic plan that some of these resources will be applied for the coordination and maturation of protocols.

Senator AKAKA. Let me, Mr. Chairman, just finally, since I am on the subject of funding, ask Mr. Griffin: What percentage of the homeland security funding spent in the NCR comes from non-Federal, that is, State or local funds?

Mr. GRIFFIN. Senator, I do not have a precise number, but my estimate is that in excess of 90 percent, probably closer to 95 percent of all funding spent on homeland security in the National Capital Region comes from State or local resources, with the vast majority of that actually coming from local resources.

Senator AKAKA. Thank you very much, Mr. Griffin.

Thank you, Mr. Chairman.

Senator VOINOVICH. Thank you.

Senator Akaka, I just received an alert, and we get these all the time, about strange substances and stay away from certain areas. I do not think that the people in our respective States or the District fully appreciate the amount of money that we are putting into securing the homeland. You have to wonder how we can pay for all of it. I had an analysis done that said, if we are going to try to balance up the money that we are spending on homeland security and the war, we would have to cut the domestic nondiscretionary budg-

et by 30 percent. I suspect in each and every one of your cases, Mr. Lockwood, that you could use more money. I know there are a lot of areas in Homeland Security. But I just think that we need to do a better job of communicating to the public how serious this is. You take State budgets. I would be interested in knowing how much more money States are absorbing to pay for homeland security. Are there things that you have given up that you should be doing, but you are not doing because you are putting the money into the NCR? I really think it is important that we do a better job of letting people know. This is very serious business, and it is costing a whole lot of money. We talk about securing the border, and the reason why we have got a problem with the border is we did not spend the money in the first place to secure the border. Now we have a problem, and now we are going to spend the money. But it is going to be very costly. All of this spending keeps adding up and adding up.

I will never forget that day when—I do not know whether you were in the Hart Building or not, Senator Akaka, when we had to evacuate. I remember coming back and I had heard about the Twin Towers going down, and then seeing on television there was a short building, and I said, "That cannot be New York." And my staff said, "No. That is the Pentagon." And the next thing we know, I was out of here.

I was so angry, I said, "I am not going. I am not going to let them, those terrorists, intimidate me." And my chief of staff almost picked me up and said, "You are going out of here. If I do not get you out of here, somebody else is going to get you out of here." I do not know if you get mad about it or not, but Osama bin Laden has really wrought unbelievable change in this country. Somehow we have to figure out how to deal with it, and I just wonder if we are ever going to have it off our back. I think about my seven grandchildren. Senator Akaka has a lot more than that. But you wonder when will this ever be off their back? How far do we go to secure the homeland without bankrupting the country?

It is a very frustrating time for all of us. I want to thank all of you for the good work that you are doing. It is very comforting to me to know that you are working with each other and trying to get the job done. It is not easy, and we will do what we can to be supportive of your efforts. If something comes up where you think we can be of help to you, I certainly want you to know to please contact us. Thanks again for being here.

Senator AKAKA. Mr. Chairman, may I ask one more question?

Senator VOINOVICH. Sure.

Senator AKAKA. And this is for all of the witnesses representing the NCR. As you know, the NCR received an unexpected 40-percent cut in UASI funding this year. So my question to you is: How will this cut impact the timeline we are talking about for planned initiatives laid out in the strategic plan? Your answer does not have to be long.

Mr. CROUCH. I will take the first cut at that, Ranking Member Akaka. We talked about improving our data interoperability, and essentially it slows the process. We will accomplish our goals, but it pushes them out a couple of years farther than we would want. And part of the importance of that is that these are tools not just

to address potential terrorist acts, but our approach is an all-hazards approach. So they are tools that are useful for our law enforcement and first responders day to day, every day and night as they serve the needs of the people in the National Capital Region communities.

Senator AKAKA. I guess you all agree with that.

Thank you very much, Mr. Chairman.

Senator VOINOVICH. Thank you, Senator Akaka.

[Whereupon, at 11:44 a.m., the Subcommittee was adjourned.]

APPENDIX

County of Fairfax, Virginia

To protect and enrich the quality of life for the people, neighborhoods and diverse communities of Fairfax County

Testimony of

Anthony H. Griffin, County Executive,
Fairfax County, Virginia
and
Chairman, Chief Administrative Officers Committee
Washington Metropolitan Council of Governments

to the

Subcommittee on Oversight of Government Management,
the Federal Workforce, and the District of Columbia

Senator George V. Voinovich, Chair
Senator Daniel K. Akaka, Ranking Member

September 28, 2006

Room SD 342
Dirksen Senate Office Building
Washington, DC 20510
10:00 A.M.

Office of the County Executive
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Mr. Chairman, Mr. Ranking Member and members of the Committee, thank you for the opportunity to speak to you on behalf of my fellow Chief Administrative Officers in the National Capital Region (NCR) on the role of local government in securing the National Capital Region.

The Chief Administrative Officers worked in close partnership with others in the region in developing the recently completed National Capital Region's Homeland Security Strategic Plan. It is a long term, unified effort to improve "all hazards" preparedness across the region. This strategic plan lays out our region-wide strategy for strengthening our capabilities across all phases of preparedness (prevention, protection, response, and recovery) to manage homeland security risks. It sets our course and provides a strategic approach for planning and decision making.

The "all hazards" approach to preparedness means we need to weigh the likelihood and consequences of a broad array of threats. These include, but are not limited to: extremes in weather, industrial hazards, viral pathogens, and of course, terrorism that can take many forms.

Implementing the plan will be a complex process that will involve all of the NCR's partners to include government as well as private and civic sectors. The NCR needs tangible programs that are aligned with the strategic plan. The region must allocate resources and find additional sources of funding to support these programs, and must put in place oversight and accountability structures and processes. The Emergency Preparedness Council has assumed responsibility for implementing the strategic Plan and the Chief Administrative Officers' look forward to supporting them.

Local governments continue to lead the way in emergency response. We generally operate the same on a day-to-day basis as we do during emergency situations. Therefore, if a terrorist attack were to happen in Fairfax County, Fairfax County would be in charge of the response. If an incident took place in Prince George's County, Prince George's County would lead the way.

Local Emergency Operation Plans outline the areas of responsibility for local agencies when responding to disasters or large-scale emergency situations. These plans assign broad responsibilities for disaster mitigation, preparedness, response, and recovery to local government agencies and support organizations.

All emergency responses begin at the local level; however, when a local jurisdiction determines that it no longer has adequate resources to manage the event, the locality can request assistance from other localities through the region's mutual aid network or declare an emergency and request assistance from the state. Once the state has been notified, it will provide assistance within its capability. If the state is unable to provide the requested assistance, the governor will contact the President to request a declaration of emergency and federal disaster assistance coordinated by the Federal Emergency Management Agency (FEMA).

Should the region need military support, the Joint Force Headquarters-National Capital Region was established to plan and coordinate for homeland defense and civil support operations. This support would be coordinated through the Defense Coordinating Officer in the Joint Field Office subsequent to a Presidential Disaster Declaration except in life threatening situations where support would be provided immediately. We have continued to strengthen our homeland security collaboration with Major General Swan and the Joint Force Headquarters. We also coordinate with the U.S. Department of Homeland Security's Office of National Capital Region Coordination. Both of these federal offices will help ensure a timely response by the federal government to requests for assistance.

Local governments in the National Capital Region are committed to an "all hazards" approach to emergency preparedness. Our Regional Emergency Coordination Plan, which was approved by the Metropolitan Washington Council of Governments Board of Directors in 2002, is comprehensive, inclusive, and tested. This "all hazards" plan has worked well during very different regional events. Officials successfully coordinated during natural disasters like Hurricane Isabel and the Presidents Day Snowstorm, public safety and security threats like the anthrax incidents and sniper shootings, as well as last-minute events like the Ronald Reagan funeral.

The plan was designed around 15 special emergency support function groups such as transportation, fire and rescue, health services, energy, law enforcement and media relations. We have used the same emergency support functions as found in the National Response Plan issued by the Department of Homeland Security.

During the planning process, we made it a priority to unite federal, state and local governments with businesses, transportation and health entities, utility companies, educators and volunteer groups. This process ensured that our plan and our response would be as inclusive and comprehensive as possible.

The National Capital Region is defined as an Urban Area by the Department of Homeland Security, making it eligible for grant funds under the Urban Area Security Initiative (UASI) program. In addition, Virginia, Maryland, and the District receive DHS grant funds as states through other programs such as the State Homeland Security Grant and Law Enforcement Terrorism Prevention programs.

The UASI funds from Congress help purchase much-needed new equipment and provide funding for planning, training and exercises to ensure that first responders are prepared for major emergencies. Continued funding from the Urban Area Security Initiative is extremely important to the National Capital Region as it implements the NCR Homeland Security Strategic Plan over the next five years.

Regional leaders have worked together to wisely invest homeland security funds. Our primary focus, once again, has been to put in place effective programs and policies that will keep the region safe and make it even safer for years to come.

We have purchased back-up sets of personal protective gear for first responders and adopted interoperable systems that allow those first responders to communicate with each other quickly and directly, such as our 800 MHz radio cache.

We have developed emergency transportation plans, and are working to provide additional security and protection for our water supply. Further, the region is working on a Sheltering and Evacuation Plan that will include lessons learned from New Orleans.

The region's health officials are using an electronic surveillance system to more quickly track the reporting of diseases and symptoms of serious illnesses. The system connects pharmacists, hospital emergency rooms, schools, veterinarians, laboratories, and emergency medical services.

Our combined investment is helping build an enhanced and sustainable capacity to prevent, respond to, and recover from threats or acts of terrorism. However, in order to continue to improve our readiness, we will need further investment in a number of capabilities such as mass care, citizen preparedness, critical infrastructure protection, and interoperable communications.

As critical as the UASI funding is to the NCR for enhancement of the region's ability to prevent and respond, I want to emphasize that the cost of response rests primarily with the local governments. In Fairfax County alone, funding in FY 07 dollars has been allocated to the following functions which account for the majority of our first responders.

Police	$162.4 M
Fire & Rescue	166.3 M
Sheriff	38.6 M
Office of Emergency Management	1.45 M
Health Department	45 M
911 Communications	8.9 M
Total	**$422.65 M**

Additionally, the County is building a Public Safety and Transportation Operations Center which will include facilities for the State Police and the Virginia Department of Transportation's regional traffic management system. The County's share is approximately $90 M. Given the County's investment in 36 fire stations, nine police substations and other supporting facilities and our collaborative approach to response utilized through the emergency support functions, Fairfax County spends approximately $500 M to give the County the capacity to respond to emergencies on an "all hazards" basis.

Our companion jurisdictions in the NCR are funding comparable investments according to population and geographic size.

In summary, local governments in the NCR are better prepared and more coordinated since September 11, 2001. Our ability to communicate and cooperate has been tested several times since with anthrax, snipers, hurricanes and tropical storms. Valuable experience also was gained from sending teams to the Gulf Coast last year. We have made plans for pandemic flu and have completed the Strategic Plan. We have learned much, but know that we have much to do. We are, however, prepared to respond now and anytime in the future.

Thank you for the opportunity to share.

Governments of the District of Columbia,
The Commonwealth of Virginia,
The State of Maryland, and the
Office of National Capital Region Coordination

National Capital Region's Homeland Security Senior Policy Group

Joint Testimony of
Edward D. Reiskin, Deputy Mayor for Public Safety and Justice for the District of Columbia
Robert P. Crouch, Jr., Assistant to the Governor of Virginia for Commonwealth Preparedness
Dennis R. Schrader, Director of the Governor's Office of Homeland Security in the State of Maryland

Securing the National Capital Region: An Examination of the NCR's Strategic Plan

Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia
Senator George V. Voinovich, Chair
Senator Daniel K. Akaka, Ranking Member

September 28, 2006

Room SD 342
Dirksen Senate Office Building
Washington, DC 20510
10:00 A.M.

Testimony of the National Capital Region
Subcommittee on Oversight of Govt. Management; the Federal Workforce; and the District of Columbia
Public Hearing: Securing the National Capital Region: An Examination of the NCR's Strategic Plan

Mr. Chairman, Mr. Ranking Member and members of the Subcommittee thank you for the opportunity to appear today to once again discuss our updated Strategic Plan and preparedness in the National Capital Region (NCR) [1]

We have submitted our joint written testimony for the record. As stated in our written testimony from earlier hearings before the Subcommittee, it is in the continuing spirit of cooperation between Virginia, Maryland and the District of Columbia that we chose to submit joint written testimony. We share goals, ideals and commitment to the safety and security of the NCR that transcend the political boundaries defining the geography of our region.

As you suggested in our last meeting, we are here today to celebrate the completion of our update to our Strategic Plan. We made a commitment to the Subcommittee to complete the update to the Strategic Plan by August 2006. We are pleased to be here today to tell you it has been accomplished. The Strategic Plan is the most recent and most visible manifestation of our continuing commitment to work together to make the region safe against all hazards.

We are pleased that the Committee has invited one of our local government colleagues to address the Committee today on the role our local government partners have played in the design; development; socialization; and implementation of the plan update. Hundreds of local government officials and employees have contributed to and shaped this update. We could not be here today without the support and active participation of our chief administrative partners, the Chief Administrative Officers of our constituent local governments.

There are many players in our decision-making process in the National Capital Region. We represent the Senior Policy Group; The District of Columbia Mayor's Office, the Virginia Governor's Office, the Maryland Governor's Office, and the Office of National Capital Region Coordination. The local jurisdictions are represented by the Chief Administrative Officers (CAO), the State Administrative Agency (SAA), the Metropolitan Washington Council of Governments (COG), and the Regional Programmatic Working Groups and Emergency Support Functions. Other stakeholders involved in the process include citizen community groups, non-profit and non-governmental and for-profit groups. The plan update is the product of the collaborative work of this group of partners.

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[1] Title 10, United States Code, Section 2674 (f)(2) provides the following definition:
The term "National Capital Region" means the geographic area located within the boundaries of (A) the District of Columbia, (B) Montgomery and Prince Georges Counties in the State of Maryland, (C) Arlington, Fairfax, Loudoun, and Prince William Counties and the City of Alexandria in the Commonwealth of Virginia, and (D) all cities and other units of government within the geographic areas of such District, Counties, and City.

There are many touch points between these players. The CAOs have monthly Homeland Security Committee meetings at the Council of Governments, the ESFs and Programmatic Working groups meet regularly, and there is an Emergency Preparedness Council (EPC) made up of elected officials, COG committee representatives, the SPG, state departments of transportation officials, federal players including the commander of the Joint Force Command for the NCR, and other stakeholder group representatives.

One of our final hurdles in getting this plan before you today was the adoption of the updated plan by the EPC. On September 13, the EPC unanimously adopted the plan before you today.

In the real world of all hazards preparedness, response, mitigation, and recovery, one truth is that all responses start as local responses. The resources needed to respond to, prepare for, and recover from any hazard, man made or otherwise start as local resources. We all know how vitally important it is that local responders and others in the continuum of response understand their roles and responsibilities. Our local government partners embrace the need to communicate, cooperate, collaborate, and effectively execute our strategies and tactics in the face of any threat that can only come from joint training and exercises and the development of joint and regional strategies in a tightly integrated fabric of preparedness.

Today we will provide an overview of our plan. We will focus on our current and future efforts to provide reliable communications interoperability for our first responders and highlight the formidable costs associated with solving the problems of communications interoperability at the state and local level. We will also share our strategy about how we intend to measure the success of our goals and initiatives; the milestones necessary to make sure that we stay on target in advancing these initiatives; and who is ultimately responsible and accountable for each project and initiative as distinct elements of our overall homeland security and all hazards program.

Plan Overview

It is important for the record to be clear about what this plan is and what it is not. The Plan is a forward looking document designed to guide future decision-making at the regional and local level. It is a framework for policy making and it is also a tool for tracking our progress in increasing our capabilities and closing the gaps in our overall preparedness. It is not an operational plan. The NCR is not an operational entity. Its constituent parts; cities; counties; and state governments all have operational plans and procedures that guide their responses to events and all hazards.

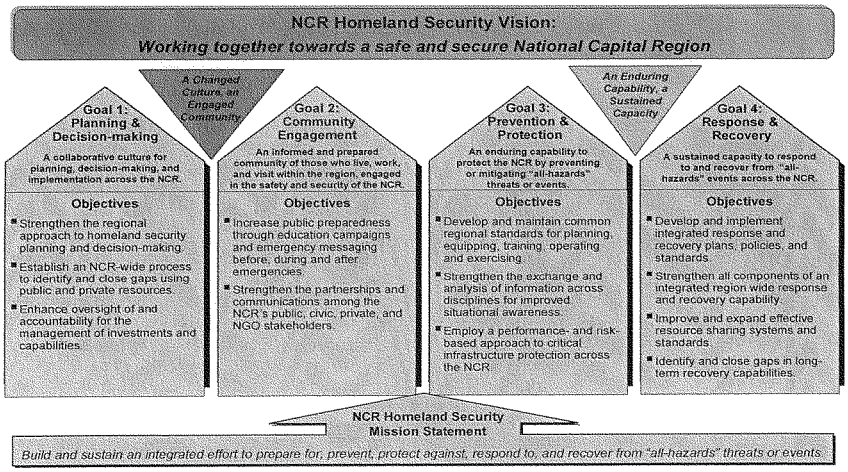
This Strategic Plan addresses homeland security challenges by defining Goals and Objectives for the entire Region for the next three to five years, and by implementing a series of priority and secondary Initiatives over the next three years. In addition, the Plan defines a set of overarching themes and Guiding Principles that shape and guide its implementation.

Testimony of the National Capital Region
Subcommittee on Oversight of Govt. Management; the Federal Workforce; and the District of Columbia
Public Hearing: Securing the National Capital Region: An Examination of the NCR's Strategic Plan

During the process of developing the Strategic Plan, NCR Partners identified four major themes that eventually took the form of four strategic Goals. These themes identified the need for:

1. A **changed culture** that emphasizes more collaboration among all the NCR Partners;
2. An **engaged community** that is well informed and takes responsibility for its own safety and security;
3. An **enduring capability** in place that serves the NCR's preparedness needs over the long-term; and
4. A **sustained capacity** to respond and recover from any major event on any scale.

The diagram below taken from our Plan depicts the relationship of our overall vision with our underlying mission and the pillars upon which our decisions about priorities and initiatives and projects may receive funding.



One Vision

The Strategic Plan envisions ***"a safe and secure National Capital Region"*** and commits the NCR Partners and all Regional jurisdictions to continue ***working together*** to reach it.

One Mission

As representatives of our jurisdictions and other organizations, and as stewards of the Region's safety and security, it is our responsibility to **"Build and sustain an integrated effort to prepare for, prevent, protect against, respond to, and recover from 'all-hazards' threats or events."** This is the Mission of our Strategic Plan that empowers us to accomplish our Objectives, reach our Goals, and eventually realize our Vision.

The National Capital Region's legacy of working together spans the test of time

Working together to success is hard work. It requires a commitment to excellence that transcends local politics and turf control. It means on a very practical day to day level leaders and first responders must be willing to change tactics and strategy based upon the lessons learned through joint exercises and training.

The NCR history predates the events of September 11, 2001 but clearly received a very tangible boost in August 2002 when the Governors of Maryland and Virginia came together with the Mayor of the District of Columbia to agree to what has become know as the Eight Commitments to Action to improve coordination in preventing, preparing for and responding to a terrorist incident.

At the highest level, our governance structure starts with the Governors and the Mayor and works through the Senior Policy Group in collaboration with the Chief Administrative Officers of the region and the members of the Regional Emergency Preparedness Council.

The Strategic Plan demonstrates our ability, working together, to leverage the best of our local strengths with our ability to execute across local and state jurisdictional lines to share information, synthesize data, prioritize transportation flows, track health and infectious disease movement, and mitigate all hazard risks.

But we know, as important as the Strategic Plan is, the day to day work of our first responders truly reflects the success of the region. It is our responsibility to make sure they have the resources—in equipment, in planning, in training, and in support from policy leaders—they need to succeed.

Since 2001, our constituent jurisdictions have improved exercise and training programs by thinking regionally. All training courses utilizing UASI funding, no matter the jurisdiction are open to all regional stakeholders. Over the past few months, courses in the region offered on Continuity of Operations Planning, the National Incident Management System, Response to Biological Incidents, and Preventing and Responding to Suicide Bombing often find more participation from State, Local and Federal

responders outside the offering jurisdiction than in the jurisdiction.

Participation from different jurisdictions and different levels of government often allows the course to become more realistic, because multiple jurisdictions and agencies are likely to respond to a significant event. The training events also allow responders to share information with their counterparts, facilitating identification and adoption of best practices to be identified and implemented throughout the region.

In 2004, the Senior Policy Group created the Exercise and Training Oversight Panel (ETOP) made up of representatives across the region to:

- Create an exercise schedule and coordinate exercises and training that engage the entire region; and
- Integrate training standards and approaches across the region to reflect national and NCR strategy requirements

ETOP tracks not just local or state exercises, but also works to coordinate all public, private, federal and Department of Defense and emergency preparedness exercises across the Region.

Examples include the Amtrak Exercise a few weeks ago at Union Station, an Interoperability Exercise held with response agencies from 17 local jurisdictions on September 12th, the Washington Metropolitan Area Transit Authority Exercise on September 17th and a full field exercise with law enforcement, fire and emergency medical services, and health responders a few blocks away at RFK on September 21, 2006.

ETOP has initiated training for several regional systems implemented in the past 3 years. One such system, WebEOC, allows communication centers across the region to manage an incident and obtain a level of regional situational awareness. Training has been offered and attended by responders, decision making officials and emergency operation center staff for all levels of government and the Joint Force Command in the NCR.

We continue to meet to address such priorities as regional and local evacuation and shelter plans; regional and modal specific transportation priorities; communications plans and public awareness campaigns all designed to address specific gaps in our readiness and prepare to mitigate the consequences of any threat in our region. The strategic plan is specifically designed to be a living document which will change with the lessons learned and changes to local and regional priorities gained through our local working groups and public input.

How do we begin to measure the success of our working together over the past five years?

- **Enhanced Interoperable Communications**
  The National Capital Region (NCR) is building an integrated, interoperable system for communications and information sharing — that is both wireless and fiber-optic. The region will install a secure, wireless network which will allow local, state and federal public safety personnel to exchange data, including video. The region's emergency operations centers also are being connected by a high-speed fiber-optic network to guarantee connectivity during a disaster. First responders have expanded radio communications capabilities, including underground in METRO tunnels.

- **Emergency Alerts and Notifications to the Public**
  Residents in every NCR jurisdiction can sign up for free, text-alert systems from local governments that provides emergency alerts and notifications. This system delivers real-time information to cell phones, pagers, e-mail accounts and PDAs. NCR governments deliver warnings through Reverse 9-1-1, an automated, non-subscription system that calls cellular and landline telephones with voice alerts and warnings.

- **Public Education on Disaster Preparedness**
  The "Be Ready. Make a Plan." Campaign educated NCR residents on the basic actions they can take to prepare for an emergency. This regional campaign increased public awareness, with more than 50 percent of residents seeing or hearing the preparedness message. The campaign distributed more than 1.25 million wallet-sized, personal preparedness plans and trained more than 48,000 residents on how to prepare. The region is also educating children to prepare for disasters, using the American Red Cross' "Masters of Disaster" curriculum. More than 23,000 teachers have been trained to teach this curriculum, and it has been distributed to more than 1,059 schools, grades K-12.

- **Assisting Special Needs Populations Preparedness**
  NCR jurisdictions are assisting people with special needs prepare for disasters. For example, the District of Columbia has distributed 4,000 free emergency preparedness kits to residents with special needs, and the District is partnering with a local hospital to give kits to homebound elderly. Virginia offers emergency planning and preparedness classes across the Commonwealth to those who care for people with special needs and includes representatives of the special needs community in disaster planning. In Maryland, the local Citizen Corps Councils and the emergency management community have integrated people who are disabled or have special needs into their planning. Using a federal grant, the region also established the NCR's Disability Preparedness Initiative to incorporate people with special needs into emergency plans. This initiative followed a landmark conference with more than 400 representatives from disability and special needs organizations, businesses and nonprofits, and local,

state and federal government agencies. The conference was a forum to share information on best practices and resources related to emergency preparedness.

- **Medical Readiness**
  The region can quickly detect and track a potential bioterrorist attack using its electronic syndromic surveillance system. This regional system connects pharmacists, hospital emergency rooms, schools, veterinarians, laboratories and emergency medical services. Because hospital beds in the region's 34 accredited, licensed hospitals are filled every day, the NCR purchased an additional 1000 hospital bed capacity. This capacity will allow hospitals to treat a surge of patients resulting from a terrorist attack or Pandemic Flu.

- **Equipping First Responders for Responding to All Hazards**
  Police officers and fire fighters have been equipped, trained and exercised in responding to any threat — chemical, biological or radiological. For example, fire fighters and police officers have the protective gear they need to deal with a chemical, biological or radiological disaster, and they have received training in dealing with WMD incidences.

- **Partnering with Nonprofit and Private Sectors**
  The region's private sector organizations have developed an inventory of equipment, materials and services they can provide during an emergency. For example, a private company provided air conditioners to the D.C. Armory for Hurricane Katrina evacuees staying there. The nonprofit community has created a plan to coordinate the delivery of goods and volunteer services during a disaster.

- **Protecting Drinking Water Supplies**
  Working with the more than two dozen water utilities in the metropolitan area, the region has created the Early Warning Water Security Monitoring system. This regional network of biological and chemical monitoring stations can detect low levels of contamination in both untreated and treated drinking water.

These and other examples of our success at working together to address real needs and prepare for our ability to respond in tactical ways to threats and vulnerabilities testify to our continued commitment to regional cooperation. In an environment where there may be less federal support for local readiness, it is our belief that how our communities embrace these initiatives and build enduring capabilities will drive our success at responding to future needs. A challenge we recognize is that local and state governments will eventually own the future support and, in some cases, expansion of initiatives and capabilities begun and developed with federal funds.

Communications Interoperability

During our last meeting before the Subcommittee we were asked whether our communications infrastructure and devices allowed our first responders to communicate effectively and without compromise. Are our various responders with their differing radios and dispatch systems able to communicate with one another in time of crisis or need? The answer is Yes. We have nearly total voice interoperability across the region. On any given day, at any time, across the river, up the river, down river, and throughout the region first responders have the ability to talk with one another. This ability to communicate is as much a testament to creating a system of overlapping mutual aid commitments and policies and procedures as it is the technology. The solution to being able to talk with one another during an emergency requires that governments address both of these sides of the equation.

Earlier this month we held our Tactical Interoperable Communications Plan Exercise in Alexandria to test our interoperable voice capabilities across nearly 50 different agencies and responder groups. Exercise participants included firefighters, police officers and others from the City of Alexandria, Arlington County, District of Columbia, Fairfax County, Frederick County, Loudoun County, Montgomery County, Prince George's County, Prince William County, Maryland State Police, Maryland Department of Transportation, Virginia State Police, Virginia Department of Transportation, FBI and ATF. We also hosted legislative staff from this Subcommittee and regional Congressional Delegation staff to witness the exercise.

Communications operability, interoperability, information sharing, and information synthesis must all be addressed in a comprehensive way in order to respond effectively to the myriad threats and vulnerabilities in our region. In the region we have had to address the need for basic connectivity; basic communications devices; mobility; above and below ground structural communications impediments; and data fusion concerns that have driven the region to a very comprehensive approach to solving for our communications interoperability needs.

Our responders across the region have the full capability to communicate across jurisdictions and across device and infrastructure platforms in the case of any emergency.

At the end of this testimony we have included a chart (Appendix 1) which details our achievements in this area and our future vision for providing full data, voice, and video communications capability to the region.

Finally, the NCR plans for further voice and data interoperability enhancements.

Voice/Land Mobile Radio

- The Commonwealth of Virginia is implementing the STARS system that includes 700 MHz portable radios able to operate directly on NCR 800 MHz radio networks. The system is expected to be fully implemented by 2009.

- The State of Maryland is planning a 700 MHz statewide deployment that will result in enhanced interoperability with NCR 700/800 MHz systems. The system is currently in the design stage and is expected to be fully implemented by 2011/2012.
- The State of Maryland has made systematic infrastructure investments in the state's tower and microwave backbone over the last eight plus years, which will dovetail with the 700MHz statewide system that is ultimately deployed.

NCR Data Interoperability Infrastructure Projects

NCRnet - Through the development of a regional interconnected government fiber network (INETS), a regional government wireless broadband network (RWBN) and a regional data exchange hub (DEH), this infrastructure provides secure, non-commercial, restricted access to critical regional communications networks for both high speed fiber optics and wireless broadband mobile communications to ensure that the infrastructure for facilitating real time, anytime data communications within the NCR is achieved. The DEH will organize and make available ESF data and applications on demand to manage daily and emergency communications in the NCR.

NCR Data Sharing Initiatives

- Emergency Operation Center to Emergency Operation Center Video Conferencing
- EOC to EOC – Common Operational Picture through WebEOC
- Regional Credentialing – FIPS201 compliant card for on-scene access
- LInX – Law Enforcement Information Sharing
- AFIS - Automatic Fingerprint Identification System that provides improved work flow, booking process, criminal identifications and enhanced mug shot capabilities for law enforcement agencies throughout the NCR.PTS – on-scene to hospital incident centric patient tracking
- RoamSecure – email alerts via handheld devices expansions
- National Capital Region Syndromic Surveillance Network (ESSENCE) – health trend surveillance network for disease
- HMARS – Hospital Mutual Aid Radio System

NCR Interoperable Communication Financial Investments

In a focused effort to improve interoperable communications, extensive investments have been made within the National Capital Region in advanced communications facilities, interoperable radio networks and end user radios, information exchange and analysis solutions, emergency alerting, Emergency Operations Centers and various other systems and solutions to advance the NCR's emergency preparedness and response.

The projects, the respective financial investment into these projects, the lead recipient and the source of the project finding are detailed in the table in Appendix 2. The projects

listed, although not a comprehensive listing of all NCR investments made by local NCR jurisdictions and the states of Maryland and Virginia and the District of Columbia, represent the most significant interoperability focused projects and source funds from UASI and State Homeland Security grants, local jurisdiction investments along with state and District project funding.

There has been a concerted effort by governments in the NCR to advance interoperable voice and data communications and although the region has not yet achieved its desired standard, the collective achievements to date, together with the "in progress and future projects", will provide the level of communication interoperability required to ensure the highest levels of security and preparedness.

Implementing the Strategic Plan

Implementing the core components of the Strategic Plan is a challenging process involving the entire NCR stakeholder community, including government, private, and civic sectors. Tangible initiatives, programs, and projects must be aligned and staged to accomplish the Objectives. Funding sources must be identified, resources allocated, and oversight and accountability guaranteed.

Developing Initiatives

Moving from Vision, Goals, Objectives, and then to Initiatives, details increase as the scope narrows for each component level. Like the other core components of the Strategic Plan, the Initiatives rely on the same tenets of transparency, collaboration, and inclusiveness to gain acceptance and commitment among the NCR Partners. In terms of substance, the Initiatives are a composite of related programs and projects, any or all of which may be funded and implemented at the same time. This generally requires multi-disciplinary teams for implementation.

All 30 Initiatives appear in Volume II, Appendix A of the Strategic Plan. A snapshot of each initiative includes: general description, key tasks and milestones, anticipated outcomes, performance measures, lead organization, and an order of magnitude estimate of costs.

Governing and Managing Implementation

As previously noted the NCR has no inherent statutory authority to act on its own and is not an operational entity. As a result to succeed, an effective long-term strategic plan for homeland security across the NCR must rely heavily on the tenets of inclusiveness, transparency and consensus as well as a collaborative planning culture and process. The table below shows various NCR Partners and stakeholder groups and their primary role(s) in developing and/or implementing the Strategic Plan.

Governance and Management Roles of the Homeland Security Partners		
Engagement Level	**Principal Role(s)**	**Participating NCR Partners**
Strategic	• Setting and changing the strategic course • Exercising oversight • Securing and allocating resources	• Emergency Preparedness Council (EPC) • Senior Policy Group (SPG) • Chief Administrative Officers (CAO) Committee
Programmatic	• Deploying resources • Measuring and reporting progress • Designing and managing programs & projects	• SPG • CAO Committee • NCR Grants and Program Management Office • Metropolitan Washington Council of Governments (MWCOG)
Execution	• Staffing and executing projects • Assigning accountable project managers • Measuring and reporting progress	• NCR Grants and Program Management Office • MWCOG • Emergency Support Functions (ESFs) & Regional Program Working Groups (RPWGs)

The Metropolitan Washington Council of Governments Emergency Preparedness Council, which unanimously adopted the Strategic Plan on September 13, includes a combination of government, private, and civic organizations, ensuring that stakeholder views are appropriately represented and considered. There are other important institutions that exercise their oversight and advisory responsibilities, including Congress and the Government Accountability Office (GAO).

Gauging Performance

Performance measures play a vital role in gauging progress and making mid-course corrections. The Strategic Plan includes measures to gauge performance, covering the full spectrum of activity, output, and outcome measures for the core elements of the Strategic Plan. Generally, the Strategic Plan relies on outcome measures for assessing progress in reaching goals. Outcome and output measures provide a means to evaluate the status of objectives and for tracking completion of initiatives. See Volumes I and II for details on the concepts and specific measures proposed for this Strategic Plan. Section 4.4 in Volume I describes how performance management concepts (including measures) are being applied. Appendix A in Volume II lists the specific performance measures for each of the 30 Initiatives.

Managing Funded Projects: The Role of a Project Management Office

The Office of Homeland Security Grants and Program Management was established within the Office of the Deputy Mayor of Public Safety and Justice (ODMPSJ) in the District of Columbia in 2004. The Office functions as the State Administering Agency (SAA) for the District and the NCR and responsibility for program administration and management of homeland security grants was consolidated under this office.

The mission and scope of the PMO are derived from Strategic Goal 1 of the Strategic Plan: "***A collaborative culture for planning, decision-making, and implementation across the NCR"*** and the three objectives under that goal*:*

- ***Strengthen the regional homeland security planning and decision making framework and process to include performance and risk-based approaches.***
- ***Establish an NCR-wide assessment and requirements generation process to identify and close gaps in preparedness capabilities by effectively utilizing both public and private homeland security resources.***
- ***Enhance the oversight and accountability for the management of investments and capabilities to ensure enduring and sustainable preparedness across the NCR.***

The PMO was established to effectively manage the more than $234 million in homeland security grant funds granted to the Region as of 2006. The Office manages large-scale project and issue complexity and changes that arise during the program implementation and project execution phases of the Region's Homeland Security Program. The PMO guides the implementation of the Strategic Plan, and measures the performance toward achieving the Plan's goals and objectives, through the management of the multiple ***initiatives***, ***programs*** and ***projects*** funded through the HSGP-approved investments.

Key benefits of the PMO include:

- Providing focus on goals, objectives, and critical success factors.
- Ensure fiduciary responsibility.
- Managing timelines and dependencies across multiple projects.
- Facilitating greater senior executive involvement.
- Enabling aggressive management of cost.
- Tracking and monitoring deliverable realization.
- Monitoring and mitigating risk.

A critical role of the PMO is to develop and implement the necessary processes, methodologies and tools to ensure projects are completed on schedule and within budget and scope. Examples of the tools utilized to gauge the NCR's Homeland Security success include:

1. Project Plan Template (Attachment A) - The project plan guides the work the project team will complete to satisfy the proposal outlined by the sub-grantee in the grant application. The project manager will report progress toward completing the work outlined in the project plan via the monthly status report to the NCR PMO.

Fundamentally, the project plan addresses a core requirement of the grant terms and conditions for all grants issued for FY05, FY 06, and all subsequent years. Based on industry standards and lessons learned from managing the Urban Area Security Initiatives (UASI) grants, a comprehensive project plan allows the PMO to monitor the project, meet grant objectives, and provide/measure the needed capabilities.

2. Project Management Terms and Conditions – The following are the terms and conditions associated with all sub-grants let from the PMO office and are signed off by the local jurisdictional lead for the project within the NCR:

a. The sub-grantee will prepare a Gantt chart in Microsoft Project Manager (2003 or compliant) for their project. Once completed, the chart will be maintained monthly and a new file of the chart provided to the assigned SAA grant and/or project manager. The chart will include minimally significant milestones for the project including significant tasks, required procurement activities, decision points, milestone dates for intermediate and the final deliverable and reimbursement/billing dates from the SAA (as applicable). Assistance from the assigned SAA grant and/or project manager is available if required.

b. The sub-grantee will address how life cycle requirements for the projects will be met. These requirements include, but are not limited to, identifying on-going costs related to the project such as storage and location for items procured, identification of the personnel or government unit responsible for the items once delivered, maintenance and training required to continue operation including the cost of such items (as possible to determine) and identification of the source of these funds to perform these activities. If part of a larger initiative which will require additional funding, the initiative will be identified as well the total cost and the source of funding identified to procure it. The sub-grantee will state expected useful life of the deliverable.

c. The sub-grantee will identify a full-time, dedicated Project Manager for the project if the value is in excess of $1M. If the recipient does not consider this necessary (e.g., it is a straightforward purchase of equipment), a waiver request to this requirement should be included in their submission to the SAA.

d. The sub-grantee will support additional Project Management reviews including in person/telephonic project reviews and quality assurance inspections of deliverables on a monthly or as required basis.

3. Quarterly PMO Briefing - The briefing provides an excellent forum for the Regional Committees/Panel to inform R-ESFs/Committees of their actions to date, current activities, and future plans. It also gives the Regional Committees/Panel an opportunity to receive feedback and to address any questions or concerns from the R-ESFs/Committees.

The PMO works directly with the RPWGs and R-ESFs and ensure frequent communication with the NCR senior management team (i.e., the SPG and CAO committee) and other regional stakeholders. The PMO will be held accountable for meeting the performance measurements set forth in Enhancement and Investment Plans presented in the NCR application for the HSGP UASI.

As of today, the PMO has successfully closed out and expended FY 03 Part 1, FY 03 Part 2, and FY 04 UASI sub-grants totaling $92.4 million. We are working diligently to effectively close out and expend the FY 05 UASI by the end of March, 2007. The FY 06 UASI was just awarded on June 30, 2006 and the NCR has already obligated over 85% of the grant award and working with the local jurisdictions to produce project plans.

Grant	Effective Award Date	Period of Performance	Grant Award	Expended (Subawards/ Contracts)	Balance of Subawards /Contracts
03 Urban Areas Security Initiative I	12/30/2003	6/1/03 - 11/30/05	$18.1	$18.1	$0.0
03 Urban Areas Security Initiative II	12/30/2003	7/1/03 - 6/30/06	$42.4	$42.4	$0.0
04 Urban Areas Security Initiative	3/29/2004	12/1/03 - 5/30/06	$31.9	$31.9	$0.0
05 Homeland Security Grant Program	3/1/2005	10/1/04 - 3/31/07	$77.5	$7.35	$70.15
06 Homeland Security Grant Program	6/30/06	6/30/06 – 6/29/08	$46.4	$0	$46.4
	TOTALS:		**$216.3**	**$99.75**	**$ 116.55**

We believe that our approach to managing the projects will manifest in our successfully implementing our strategy, goals, and objectives as laid out in the Plan.

In conclusion, we believe that the updated Strategic Plan represents a significant achievement in continuing to work together in this region and to provide for a safer community. We believe that by having gone through the process to arrive at a consensus strategy that we are better prepared to make decisions about how to leverage the scarce

human and financial resources of the region in addressing all manner of hazards. We continue to improve our capacity to work together, train together, exercise together, and make decisions together.

Thank you again for the opportunity to appear before the Subcommittee.

We would be happy to answer questions.

Testimony of the National Capital Region
Subcommittee on Oversight of Govt. Management; the Federal Workforce; and the District of Columbia
Public Hearing: Securing the National Capital Region: An Examination of the NCR's Strategic Plan

Appendix 1

Accomplishment	Benefit	Next Steps
• Coordinated 800 MHz radio interoperability throughout the region prior to 9/11	• Most NCR radios can communicate directly on each others' networks.	• Prince George's County plans a 700 MHz P25 network by 2008/9 that will enable interoperability with regional 800 MHz users. Maryland has similar plans by 2012 and Virginia's approach provides interoperable 700/800 MHz portable radios by 2009.
• The District of Columbia built a tri-band radio network for increased interoperability	• Enables direct, on network, interoperability with WMATA (operating at 490 MHz) and regional Federal agencies operating on VHF frequencies. Entities can talk directly with a District of Columbia dispatcher without any intermediate steps.	• The USSS and District of Columbia are expanding the VHF component of the system to include secure communications. Radio programming will be expanded to enable more first responders to take advantage of this infrastructure.
• Worked with the CommTech program to deploy interoperability gateways to connect radios that can not otherwise communicate (due to differing frequency or technology – e.g., Motorola Smartnet versus MA/COM EDACS)	• We can link systems and users that have disparate frequencies or technologies throughout the region. Wherever we do not have common frequencies or technologies in the NCR, these systems can enable any radios to communicate.	• Additional drills, training, and educational programs are needed to augment the readiness of use of these systems in the time of crisis.
• Interoperable voice gateways are being used today for regional events. For example, in the City of Alexandria, such a gateway provides Federal, State, and local interoperability during the Moussaoui trial.	• In the time of crisis, these systems become an ingrained component of emergency operations.	• Continued daily and major event use.
• A cache of over 1,250 radios has been purchased	• When users arrive at an incident and do not have radios or do not have radios that can allow communication with local public safety, interoperable radios are distributed to enable communications with those users. The radios are strategically cached in three different jurisdictions.	• Regional exercises to ensure readiness when needed.
• Multiple interoperability radio systems such as PMARS and FMARS are in use throughout the region to connect communication centers	• Dispatch centers have additional methods to communicate in the event that phone systems are down. Dispatchers can relay information to the field and maintain continuity of communication across jurisdictional lines and with the Federal government.	• Continue to operate and support these highly capable systems, continue training efforts and maintain regular testing procedures.
• Common frequency use in NCR enables radio-to-radio	• Provides an additional fall back for interoperability at the scene -- was	• Additional 700/800 MHz use by NCR jurisdictions and regional partners will

Accomplishment	Benefit	Next Steps
communication	used at the Pentagon on 9/11.	enable more first responder to use this fallback mode of communication.
• Upgraded or implemented radio systems in the subway tunnel system	• Provides radio service at UHF and 800 MHz in the tunnel system	• UASI funding is being utilized to upgrade the subway system to provide increased reliability and robustness.
• The Regional Incident Communications and Coordination System (RICCS[sm]) provides comprehensive communications tools throughout the region for incident based communications	• For all significant events in the National Capital Region, the RICCS provides a method for emergency managers to disseminate and receive valuable information. The inaugural use of the system provided all emergency support functions with conference calling facilities so they could remain coordinated throughout the sniper incidents of October 2002. More than 1,500 individuals from 50 groups use the system to share information.	• Continue awareness efforts and training through the COG ESF structure and continue to maintain accurate membership lists via regular testing.
• WAWAS (Washington Area Warning Alert System)	• Provides for the dissemination of emergency and/or priority information as well as the coordination between command post in response to an event. The system is a 24 hour continuous private wire landline telephone system used to convey warnings and situational awareness to Federal, State, District of Columbia and local governments, as well as the military and civilian population. There are 106 agencies connected to this system.	• Continue to maintain accurate contact lists via regular testing.

Accomplishment	Benefit	Next Steps
• The District of Columbia has already deployed a 12 site wireless broadband IP network. The Wireless Accelerated Responder Network, WARN, uses an experimental license from the FCC -- this is the first implementation of a broadband data network specifically for public safety	• The system provide interoperable video capabilities between Federal and District of Columbia public safety personnel as well provides access to interoperable applications such as CapWIN.	• Integrated and interoperable broadband networks have been designed and planned. UASI funding will provide coverage to the Beltway. Additional funding is needed to
• The CapWIN program provides NCR data interoperability and a national model for governance. The system has been operational since 2004 and has a current enrollment of over 1,500 users from 43 agencies.	• Provides an additional form of interoperable communications by establishing text messaging and access to multiple law enforcement databases throughout the NCR. CapWIN use has increased over 300 percent in the past six months providing greater accessibility among public safety officials	• Integration of CapWIN architecture and governance into Phase I functional implementation of the Data Exchange Hub component of NCR-IP. Permanent Data Exchange Hub solution will incorporate the CapWIN

Accomplishment	Benefit	Next Steps
	and increased access to law enforcement databases.	application.
• Regional programs such as EMMA and MEGIN from Maryland are examples of interoperable data communications	• Systems provide critical geospatial and other homeland security information.	• Integration of EMMA and MEGIN architectures into Data Exchange Hub Phase I.
• The Office of the Chief Technology Officer's, Wireless Programs Office provides national leadership in the developing areas of wireless broadband public safety communications for public safety, and the spectrum legislation and regulations required to support it	• Effort has educated Congress and public safety at a national level on the feasibility and viability of leveraging commercial broadband wireless technologies for public safety. Ultimately, the solution provides the nation with a cost-effective, public-safety grade broadband deployment	• The NCR will submit a waiver from existing FCC rules to be able to operate broadband systems in the 700 MHz public safety spectrum. The NCR will play a vital role in the FCC rulemaking initiative now underway to create a nationwide and permanent broadband capability.
• WebEOC has been adopted by the NCR as the common Crisis Incident Management System (CISM) to facilitate the management of jurisdictional and regional emergency incident and events, which provide the region with a common critical application on which to best manage and coordinate response to regional incidents	• WebEOC provides a common, interoperable platform for EOC incident response and multi-jurisdictional management and coordination • WebEOC has been integrated into the State of Maryland, Northern Virginia and the District of Columbia to support local incident management and is now being integrated into the entire region	• Continue expanding WebEOC into a common NCR crisis management tool • Integrate WebEOC into HSIN to support exchanges and crisis management with federal response agencies • Expand WebEOC integration into other jurisdictional agencies including police, fire, health, transportation, etc.
• RPDSS - Regional Pawn Data Sharing System - provides law enforcement agencies throughout the NCR	• Provides law enforcement the ability to track and recover stolen property and investigate other cross-jurisdictional crimes.	• Increase the number of investigators (users) thorough out the region. Currently at 1,000+ users.

Appendix 2

NCR UASI Interoperability Funding 2003 to 2005

Fiscal Year	Task No.	Recipient	Project Title	Project Award
03 Part 1	03.1.12.EQ	Fairfax County	NCR Radio Cache (partial)	$3,355,889
03 Part 1	03.1.9.a.PL	Fairfax County	Virtual JIC	$150,000
			Total FY03 UASI Part I	$3,505,889
03 Part 2	03.2.10.EQ	DC-MPD	Regional Intel Centers Interoperability	$200,000
03 Part 2	03.2.10.EQ	MEMA	Regional Intel Centers Interoperability	$200,000
03 Part 2	03.2.10.EQ	Fairfax County	Regional Intel Centers Interoperability	$200,000
03 Part 2	03.2.8.EQ	Direct Purchase	NCR Radio Cache (partial)	$1,807,629

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Fiscal Year	Task No.	Recipient	Project Title	Project Award
			Total FY03 UASI Part 2	$2,407,629
FY 04	04.1.8.b.EQ	DC-MPD	Regional Intel Centers Interoperability	$200,000
FY 04	03.2.10.EQ	MEMA	Regional Intel Centers Interoperability	$200,000
FY 04	03.2.10.EQ	Fairfax County	Regional Intel Centers Interoperability	$200,000
FY 04	04.1.16	Direct Purchase	Reverse 911 System for NCR	$300,000
FY 04	04.1.2.PL	Prince George's County	NCR Mass Casualty & Surge Capacity Development Initiative Phase I - Patient Tracking	$2,908,400
FY 04	04.1.15 (was VA3UAS5)	Fairfax County	Northern Virginia WebEOC	$1,285,000
FY 04	04.1.12.a	DC OCTO	Interoperability Project (partial)	$4,300,000
			Total FY04	$9,393,400
FY 05	2AUAS5-A	OCTO	Regional Interoperability Project	$11,300,000
FY 05	6BUAS5	NPRT	Production of Integrated 2-1-1 Data Repository	$100,000
FY 05	8DUAS5	Montgomery County	Telecommunications/Computer Assisted Telephone Interviewing Capacity Data Collection and Management Solution	$400,000
FY 05	X11UAS5	OCTO	NCR First Responder Passport Initiative (Credentialing Project)	$3,897,088
FY 05	MD1UAS5	Prince George's County	800MHz transition for Prince George's County	$3,000,000
FY 05	MD3UAS5	MEMA	Software Integration	$1,400,000
FY 05	DC1UAS5	DDOT	Fiber optic link between DC NET and WMATA	$1,000,870
FY 05	5AUAS5	Prince George's County	Integrate Emergency Operation Centers (EOC) and Emergency Communication Centers (ECC) (partial)	$2,300,000
FY 05	8AUAS5	JHU/APL	NCR Syndromic Surveillance Network	$1,800,000
FY 05	04.1.16	Direct Purchase	Reverse 911 System for NCR	$600,000
FY 05	13AUAS5	FFX County PD	NCR Automated Fingerprint Identification System (AFIS)	$8,650,000
FY 05	13DUAS5	Montgomery County	NCR-Local Law Enforcement Information Sharing System (NCR-LLEISS)	$1,000,000
			Total 05 UASI	$35,447,958
Total UASI Funding all 3 years				**$50,754,876.00**

District of Columbia Programs

FY 02

Project #	Recipient	Project Title	Project Award
PIF 3.6.1	DC OCTO	800 HMZ and UHF Radio Network Design and Deployment	$30,591,000.00
PIF 3.6.4	DCFEMS	Vehicular Repeater System Implementation	$460,000.00

PIF 3.6.5	DCFEMS	WMATA Tunnel Public Safety Radio Network	$2,000,000.00
PIF 3.6.7	DC OCTO	Microwave Network	$700,000.00
PIF 3.6.9	MPD/FEMS	MPD and FEMS Radios	$7,796,995.00
Total FY03 Capital			**$41,547,995.00**

FY 03

Project Number	Recipient	Project Title	Project Award
PIF 3.6.11	DC OCTO	The WARN Network	$343,620.00
Total FY03 Capital			**$343,620.00**

FY 04

Task No.	Recipient	Project Title	Project Award
PIF 3.6.11	DC OCTO	The WARN Network	$2,918,030.00
PIF 3.6.6	DC OCTO	UHF Channel Upgrade	$1,500,000.00
PIF 3.6.6	DC OCTO	Public Safety Radios	$3,500,000.00
PIF 3.6.6	MPD/FEMS	Back-up Dispatch Facility	$500,000.00
PIF 3.6.6	OUC	Radio Network Operations	$1,850,000.00
Total FY04 Capital			**$10,268,030.00**

FY 05

Task No.	Recipient	Project Title	Project Award
PIF 3.6.11	DC OCTO	The WARN Network	$2,918,030.00
Total FY05 Capital			**$2,918,030.00**

FY 06 (Up to date)

Task No.	Recipient	Project Title	Project Award
PIF 3.6.11	DC OCTO	The WARN Network	$638,462.00
Total FY06 Capital			**$638,462.00**
Total for FY02 through March 2006			**$55,077,675.00**

Commonwealth of Virginia

FY 04-06

Funding Source	Recipient	Project Title	Project Award
State Bond	Statewide	STARS - State Police Radio Network	$215,000,000.00
County Bond	Fairfax County	STARS - State Police Radio Network for Fairfax County	$16,930,000.00
NIJ	Stafford County	Enhance Radio Interoperability	$75,000.00
NIJ	Arlington County	Enhance Radio Interoperability	$75,000.00
NIJ	Manassas Park	Enhance Radio Interoperability	$75,000.00
Total Capital			**$232,155,000.00**

Testimony of the National Capital Region
Subcommittee on Oversight of Govt. Management; the Federal Workforce; and the District of Columbia
Public Hearing: Securing the National Capital Region: An Examination of the NCR's Strategic Plan

State of Maryland			
FY 02 - 05			
Funding Source	**Recipient**	**Project Title**	**Project Award**
State Funds	Entire State	MD Incident Management Interoperable Communications System (MIMICS);Maryland Eastern Shore Interoperable Network (MESIN); Central MD Area Regional Communications (CMARC);Emergency Management Mapping Application (EMMA); MD Emergency Geographic Information Network (MEGIN); NetWork.MD and others	$100,000,000
Total Capital			**$100,000,000**

Attachment A

Project Plan

[Enter the project title here]

Contact Information	
Contact name:	
Title:	
Organization:	
Jurisdiction (if applicable):	
E-mail address:	
Phone number:	
Facsimile number:	
Mailing address:	
Project Information	
Period of Performance:	7/1/2006–6/30/2008
Grant №:	
Grant Award:	$
Related Documents:	

Testimony of the National Capital Region
Subcommittee on Oversight of Govt. Management; the Federal Workforce; and the District of Columbia
Public Hearing: Securing the National Capital Region: An Examination of the NCR's Strategic Plan

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Project Summary

Summarize your project in a few sentences for each category:

Initiative (the problem outlined in your application):	
Approach (the tasks you'll complete take to accomplish the initiative):	
Benefits & Outcomes (how you'll be better off once you're done):	

NCR Strategic Initiatives

For each strategic initiative that your project supports, describe *how* it helps achieve the initiative.

Strategic Initiative	Description

DHS Target Capabilities

For each target capability that your project supports, describe *how* it helps achieve the capability.

Target Capability	Description

Risk and Goals

Risk

In a few paragraphs, tell us about the current threat to which you are responding. We want to understand what threat you're addressing.

Goals and Outcomes

Next, describe your project goals and the outcomes for each in the table below. We've added an example; please delete it before you add yours.

Goal	Outcomes
Example: Improve building security	Installed exterior lighting High-security exterior doors Upgrade building intrusion system

Approach

Tell us in detail how you'll accomplish the project.

Tasks

First, list the tasks you will perform to complete the project. Use the table below—for which you'll need to delete the example contents before you add yours.

№	Task Title	Description	Planned Completion
1	Example: Decide on specific products and/or services		7/30
2	Example: Write request for proposal and obtain vendor bids		8/30
3	Example: Obtain executive decision		9/15
4	Example: Procure products and/or services.		11/30

Deliverables

List the project deliverables, the tasks a description, and the estimated cost.

Deliverable	Planned Delivery	Estimated Cost
Example: Intrusion System Upgrade	6/07	$5,000
		$

Ensure you include all deliverables promised in your grant application and other commitments to stakeholders and sponsors.

Project Team

This section describes the resources you expect to engage to complete the project. In the table below, include team members and committees important to the success of the project.

Name	Role	Description of Activities
Example: John Brown	Project manager	Identify project tasks, manage budget, garner decisions from committees, and provide monthly status report.
Example:	Final decision authority	Review recommendation of

Name	Role	Description of Activities
Management Committee		products/services to procure. Approve vendor recommendation.

Project Dependencies

The most common reason projects of this type are completed late is that project managers don't account for a task relying on completion of another task or resource (e.g., an executive committee to make a decision).

Question	Response
Does this project conflict or compete for resources with another project?	
Does any other project depend on this project?	
Completion of which tasks are most likely to delay the project?	

NB: These are project dependencies, not task dependencies addressed under the following section.

Project Methodology

Project Schedule

For your project, we require the following items in the form of a Gantt chart:

- Work Breakdown Structure,
- Planned start and end dates,
- Resources, and
- Deliverables (shown as milestones).

Projects with grant awards over $100,000 are required to use Microsoft Excel or Microsoft Project to complete the project schedule of your plan.

Project Assessment Risk Plan

Possibly the most challenging portion of the project plan is the risk assessment plan. If you anticipate the risks, you'll be more likely to either avoid them or minimize their effect. For each of the following four risk areas, please identify and address how you will manage the risks.

Scope

Identify the factors that could expand or contract the scope of the project as it is defined in the grant proposal.

Risk Title	Likelihood (High, Medium, Low)	Mitigation Steps

Risk Title	Likelihood (High, Medium, Low)	Mitigation Steps

Budget

Identify risks such as where the budget for the project may be threatened by the availability of resources, vendor agreements and contract terms, etc.

Risk Title	Likelihood (High, Medium, Low)	Mitigation Steps

Timeline

Here, the absence of skilled resources, or delays in providing a resource, will affect the timeline of the project, may threaten the quality of deliverables, and may result in cost overruns.

Ensure you **include a discussion on procurement delays**, a common problem in meeting the project timeline.

Risk Title	Likelihood (High, Medium, Low)	Mitigation Steps
Procurement delays		

Executive Support

This section assesses the effect a change in leadership or executive direction, or the absence of executive support and sponsorship, could have on the overall project plan – cost, scope, and timeline.

Risk Title	Likelihood (High, Medium, Low)	Mitigation Steps

Assumptions (optional)

It is appropriate to list any specific assumptions you are operating under which guide decision making, priorities, resource engagement, etc. The table below provides an example of assumptions you may make in the course of planning a project. Periodically revisit the assumptions list to determine if the assumption is still valid and if there are any new items to include on the list.

Description	Notes

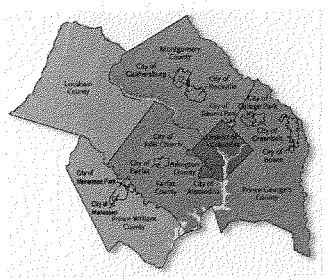
Testimony of the National Capital Region
Subcommittee on Oversight of Govt. Management; the Federal Workforce; and the District of Columbia
Public Hearing: Securing the National Capital Region: An Examination of the NCR's Strategic Plan

Description	Notes

NCR Partners

The NCR's homeland security partners consist of local, state, regional and federal entities, citizen community groups, private sector, nonprofit organizations, and non-governmental organizations, including:

- Chief Administrative Officers
- Greater Washington Board of Trade
- Joint Federal Committee
- U.S. Department of Defense Joint Force Headquarters National Capital Region
- Governor's Office of Homeland Security, Maryland
- Metropolitan Washington Council of Governments
- Regional Emergency Preparedness Council
- Regional Emergency Support Functions
- Regional Program Working Groups
- Senior Policy Group
- The Nonprofit Roundtable of Greater Washington
- Office of Commonwealth Preparedness, Virginia
- Office of the Deputy Mayor for Public Safety and Justice, District of Columbia
- U.S. Department of Homeland Security's Office of National Capital Region Coordination
- Washington, D.C. Convention and Tourism Corporation



About the National Capital Region
The NCR encompasses the District of Columbia and parts of Maryland and Virginia, including the cities of Alexandria, Fairfax, Falls Church, Manassas, and Manassas Park and the counties of Arlington, Fairfax, Loudoun and Prince William in Virginia and the counties of Montgomery and Prince George's in Maryland, which include the municipalities of Bowie, College Park, Gaithersburg, Greenbelt, Rockville, and Takoma Park.

A publication of the National Capital Region Homeland Security Partners, 8/2006.

To learn more about the Strategic Plan, call the Metropolitan Washington Council of Governments at 202-962-3214, TTY 711, or visit www.mwcog.org. To request this information in an alternate format, call 202-962-3300, TTY 711.

National Capital Region Homeland Security Strategic Plan 2007-2009

Purpose of the Plan

The National Capital Region's *Homeland Security Strategic Plan* is a long-term, unified effort to improve "all-hazards" preparedness across the region, and this brochure summarizes the full plan.

This strategic plan lays out our region-wide strategy for strengthening our capabilities across all phases of preparedness (prevention, protection, response, and recovery) to manage homeland security risks. It sets our course and provides a strategic approach for planning and decision-making.

The "all-hazards" approach to preparedness means we need to weigh the likelihood and consequences of a broad array of threats. These include, but are not limited to: extremes in weather, industrial hazards, viral pathogens, and of course, terrorism that can take many forms.

This strategic plan is not an operational emergency plan. It does not explain how the region should respond to any particular emergency.

Because emergency response is a local responsibility — as recognized by the *National Response Plan,* which explains how the federal government coordinates with state and local governments during emergencies — each local jurisdiction has developed its own emergency operations plan that also defines how they interoperate with and support adjoining jurisdictions throughout the region.

These operations plans prescribe how the jurisdictions in the region will respond to any disaster today; the strategic plan establishes the path for improving future response and working together on recovery, prevention, and protection.

y is a Plan Needed?

ect terrorist attack or natural disaster
thin the NCR could produce catastrophic
ses in terms of human casualties and
nd economic damage, in addition to
damage to public morale and confidence.

faces unique homeland security
ess challenges because the nation's
l the center of our federal government
hin its boundaries. In addition to serving
ie of over 4.5 million residents and the
: of over 340,000 federal workers, an
20 million tourists visit the NCR each
NCR is the epicenter of all three branches
government, 231 federal departments and
two states, District of Columbia, 17 local
nts, and over 2,100 political, social, and
ian nonprofit organizations. It is the home
ents and icons of American life, history,
s — including some of the most important
f national political power and democratic

is the fourth largest U.S. metropolitan area
f population and gross regional product,
the home to more than 40 colleges and
s and a large number of companies.

ie NCR is a collection of sovereign
ns, including cities, counties, states, and the
Columbia, any resources and authority that
as to act collectively is based on multiple
ns arriving at specific terms of agreement
l during an emergency via mutual
. This is accomplished through mechanisms
utual aid agreements, memorandums of
ding, and multiple forums of deliberation.

Vision, Mission & Goals

The strategic plan contains three key elements: a vision, which is the ideal end-state we anticipate the plan will enable us to achieve; a mission, which is the fundamental purpose the NCR partners are committed to carrying out; goals, which are broadly stated long-term outcomes that, if reached, collectively enable the NCR to realize its vision. The plan also contains objectives which are key, measurable milestones along the path toward reaching each goal.

Vision

The strategic plan envisions ***"a safe and secure National Capital Region"*** and commits the NCR partners and all regional jurisdictions to ***work together*** to reach it.

Mission

As representatives of our jurisdictions and other organizations, and as stewards of the region's safety and security, it is our responsibility to ***"build and sustain an integrated effort to prepare for, prevent, protect against, respond to, and recover from 'all-hazards' threats or events."*** This is the mission of our strategic plan that empowers us to accomplish our objectives, reach our goals, and eventually realize our vision.

Goals

- ***Collaborative Planning and DecisionMaking***. The NCR partners agree that a collaborative planning and decision-making culture is critical to the success of the plan. Specifically, this goal aims to improve our regional planning process.

- ***Informed, Engaged and Prepared Community***. This goal focuses on ensuring that persons and organizations across the NCR have the information at their disposal to ensure their own safety and security.

- ***Enduring Capability to Protect and Prevent***. This goal addresses the threats and reduces vulnerabilities for which the region needs to prepare.

- ***Sustained Capacity to Respond and Recover***. This goal is to build regional capabilities to speed the restoration of normal services, levels of security, and economic activity should an attack occur.

"Large scale events — whether natural or terrorist engineered — respect no boundaries. The terrorist attacks of September 11, 2001 and the potential for other catastrophic events testify to the need for regional collaboration across all phases of preparedness."

Gerald E. Connolly
Fairfax County Chairman and Chair of the NCR Emergency Preparedness Council

Implementing the Plan

Implementing the plan will be a complex process that involves all of the NCR's partners — including the government, private, and civic sectors. The NCR needs tangible programs and projects that are aligned with the strategic plan. The region must allocate resources and find additional sources of funding to support these programs, and must put into place oversight and accountability structures and processes.

For each objective, the plan also contains initiatives—or groupings of related programs and projects, any or all of which may be funded and implemented at the same time. Overall, the strategic plan contains 30 initiatives. Each initiative includes a general description, key tasks and milestones, anticipated outcomes, identification of the accountable group, and performance measures.

Funding

As part of the plan's 30 initiatives, specific programs and projects will be funded through a variety of funding sources, including federal grants channeled through state and municipal authorities, and local funding. Precise cost figures are difficult to obtain until the supporting programs and projects are more fully developed.

Measuring Performance

The *Strategic Plan* includes measures to gauge the region's performance on reaching its goals and tracking performance.

Managing Implementation

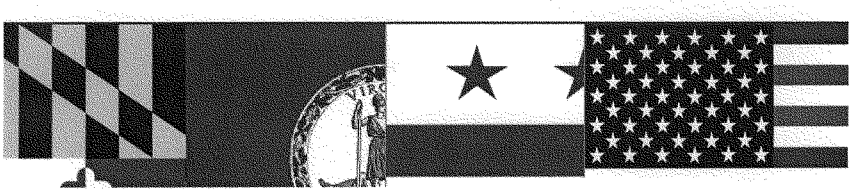
To succeed, an effective long-term strategic plan for homeland security among the NCR's homeland security partners must rely heavily on inclusiveness, transparency, and consensus, as well as a collaborative planning culture and process. Working together, we can have a safe and secure National Capital Region.

National Capital Region Homeland Security Strategic Plan 2007-2009

A strategic partnership to manage risk by strengthening our preparedness capabilities

—OVERVIEW—

AUGUST, 2006



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FOREWORD

This document represents our strategy for improving regional preparedness to manage homeland security risks across the National Capital Region. Using the *Strategic Plan* as a guide, we will continue to build targeted and enduring capabilities shared among the NCR Partners in a coordinated, efficient, and effective manner. As stewards of the public trust and its resources, we are committed to exercising rigorous oversight to implement this *Strategic Plan*.

A broad cross-section of Federal, State, and local government officials and first responders, along with many non-profit and for-profit organizations, made significant contributions to develop the components of this *Strategic Plan*. These NCR Partners engaged in a transparent, inclusive, and collaborative process to reach a consensus over the *Strategic Plan*'s key components.

We remain committed to realizing our common Vision—Working Together Towards A Safe and Secure National Capital Region.

Gerald E. Connolly
Chairman
National Capital Region
Emergency Preparedness Council

Edward Reiskin
Deputy Mayor for Public Safety and Justice
District of Columbia

Dennis Schrader
Director, Maryland Governor's Office of Homeland Security
State of Maryland

Robert Crouch
Assistant to the Governor for Commonwealth Preparedness
Commonwealth of Virginia

Thomas Lockwood
Director, Office for National Capital Region Coordination
Department of Homeland Security

PURPOSE OF THIS PLAN

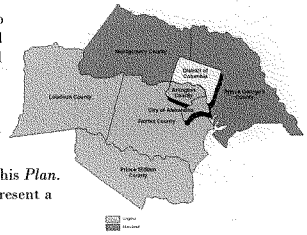
This *National Capital Region Homeland Security Strategic Plan* developed by the National Capital Region (NCR) Homeland Security Partners[1] emphasizes preparedness[2] through regional collaboration. It draws all jurisdictions and their constituents into a long-term, unified effort to improve "all–hazards[3]" preparedness across the NCR. This *Strategic Plan* lays out our Region-wide strategy for strengthening our capabilities across all phases of preparedness (prevention, protection, response, and recovery) to manage homeland security risks. It sets our course and provides a strategic approach for planning and decision-making.

This *Strategic Plan* is not an operational emergency plan. It does not explain how the Region should respond to any particular emergency. Because emergency response is a local responsibility—as recognized by the *National Response Plan*—each local jurisdiction has developed its own set of emergency operations plans. Those operations plans prescribe how the jurisdictions in the Region will respond to any disaster today; the *Strategic Plan* establishes the path for improving future response, recovery, prevention, and protection.

This Overview highlights the *Strategic Plan's* core content as well as key aspects of the strategic planning process in the NCR. A more detailed discussion of the *Plan's* content and the NCR's strategic planning processes can be found in Volume I (Core Plan) and Volume II (Appendices).

TAKING STOCK OF OUR SITUATION

Large scale events—both natural and man-made—respect no boundaries. The terrorist attacks of September 11, 2001 and the potential for other catastrophic events testify to the need for regional collaboration across all phases of preparedness. The jurisdictions that comprise the NCR have a long established tradition of collaboration and mutual aid to deal with such large scale, Region-wide threats and events.



Both internal and external conditions shape the specifics of this *Plan*. Some of these can work to our advantage, while others can present a

[1] **NCR Homeland Security Partners** (NCR Partners) consist of the NCR's local, State, regional and Federal entities, citizen community groups, private sector, non-profit organizations, and non-governmental organizations. The terms "NCR Partners", "we", and the "Partners" are synonymous with NCR Homeland Security Partners in this document.

[2] **Preparedness** is the range of deliberate, critical tasks and activities necessary to build, sustain, and improve the operational capability to prevent, protect against, respond to, and recover from domestic incidents. Preparedness is a continuous process involving efforts at all levels of government as well as between government and private-sector and nongovernmental organizations to identify threats, determine vulnerabilities, and identify required resources.

[3] **All-Hazards** refers to preparedness for domestic terrorist attacks, major natural or man-made disasters, and other emergencies.

daunting challenge. The following is a brief discussion of the primary conditions that shaped the specifics of this *Strategic Plan*. For additional details, refer to section 3.0 in Volume I (Core Plan).

The NCR faces unique homeland security preparedness challenges because the Nation's capital and the center of our Federal government reside within its boundaries. In addition to serving as the home of over 4.5 million residents and the workplace of over 340,000 Federal workers, an average of 20 million tourists visit the NCR each year. The NCR is the center of all three branches of Federal government, 231 Federal departments and agencies, and over 2,100 political, social, and humanitarian non-profit organizations. It is the home to monuments and icons of American life, history, and politics – including some of the most important symbols of national political power and democratic heritage.

The NCR is the fourth largest U.S. metropolitan area in terms of population and gross regional product, as well as the home to more than 40 colleges and universities and a large number of companies. A direct terrorist attack or natural or man-made disaster within the NCR could produce catastrophic losses in terms of human casualties and political and economic damage, in addition to profound damage to public morale and confidence.

Another related consideration is the NCR's statutory limitations. The NCR is a collection of sovereign, independent jurisdictions, including cities, counties, states, and the District of Columbia. It has no authority to act on its own and is not an operational entity. Any resources and "authority" it may have depend entirely on what the member jurisdictions (including states) agree together to contribute. When situations arise where member jurisdictions find it more advantageous to act collectively, they may empower (temporarily and with limits) the NCR Partners to act on their behalf. Mutual aid agreements, memorandums of understanding, and various forums for deliberating issues and achieving consensus are the primary tools used within the NCR for region-wide collaboration.

Developing an effective long-term strategic plan for homeland security across the NCR relies heavily on inclusiveness and transparency. Throughout the strategic planning process, we strive to arrive at a consensus for all major decisions. The private sector, represented through sponsoring organizations such as the Board of Trade, Chamber of Commerce, Washington DC Convention and Tourism Corporation, and other consortia, provide subject matter expertise in building Regional preparedness capabilities. As we move forward with implementation of the *Strategic Plan*, the private sector will continue to serve as a vital and equal partner in execution.

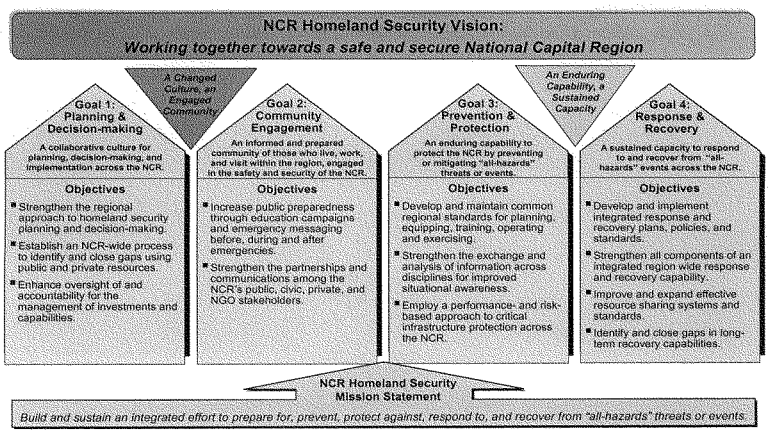
Like everyone else, we operate with a finite set of resources, in an uncertain environment and with imperfect information. In developing the *Strategic Plan*, we considered risk and capabilities across the NCR to the extent information was available. More specifically, we used information from vulnerability assessments completed for the NCR's member jurisdictions, the *Nationwide Plan Review* assessment of the status of catastrophic planning, and the 2006 Emergency Management Accreditation Program (EMAP) Assessment. This approach also assumes a broad array of "all-hazards" threats, including extreme weather, industrial and natural biological hazards, as well as a range of terrorism acts.

SHAPING OUR STRATEGIC RESPONSE

This *Strategic Plan* addresses homeland security challenges by defining Goals and Objectives for the entire Region for the next three to five years, and by implementing a series of priority and secondary Initiatives over the next three years. In addition, it defines a set of overarching themes and Guiding Principles that shape the substance of the *Strategic Plan* and guide its implementation.

During the process of developing the *Strategic Plan*, NCR Partners identified four major themes that eventually took the form of four strategic Goals. These themes identified the need for:

1. A **changed culture** that emphasizes more collaboration among all the NCR Partners;
2. An **engaged community** that is well informed and takes responsibility for its own safety and security;
3. An **enduring capability** in place that serves the NCR's preparedness needs over the long-term; and
4. A **sustained capacity** to respond and recover from any major event on any scale.



The participating NCR Partners also established a set of Guiding Principles to set the standard of behavior for delivering on the promises contained in the *Strategic Plan*. These Principles not only help shape the *ends* (Goals and Objectives) but also provide a basis for prioritizing the *ways* (specific Initiatives) and determining the *means* (resources) included in the *Strategic Plan*. Ultimately, these Principles guide our approach towards realizing the Vision for a safe and secure NCR. A full list of the Guiding Principles can be found in Volume I, section 2.

As shown in the figure on page six, the structure of our *Strategic Plan* includes the typical elements found in other plans. This figure also shows the substance of these strategic elements and how these relate to one another. It contains the following core elements:

- Vision—the ideal end-state we anticipate our Strategic Plan will enable us to achieve
- Mission—the fundamental purpose the NCR Partners are committed to carrying out as a collective enterprise
- Goals—broadly stated long-term outcomes that, if reached, collectively enable us to realize our Vision
- Objectives—key, measurable milestones along the path toward reaching each Goal

One Vision

The *Strategic Plan* envisions ***"a safe and secure National Capital Region"*** and commits the NCR Partners and all Regional jurisdictions to continue ***working together*** to reach it.

One Mission

As representatives of our jurisdictions and other organizations, and as stewards of the Region's safety and security, it is our responsibility to **"Build and sustain an integrated effort to prepare for, prevent, protect against, respond to, and recover from 'all-hazards' threats or events."** This is the Mission of our *Strategic Plan* that empowers us to accomplish our Objectives, reach our Goals, and eventually realize our Vision.

Four Goals and Twelve Objectives

We have established four Goals and twelve specific Objectives that serve as milestones towards the accomplishment of each Goal. This approach breaks each Goal down into more concrete (and measurable) components.

Goal One - Planning & Decision-making: The NCR Partners agree that a collaborative planning and decision-making culture is critical to the success of the *Strategic Plan*. This goal establishes the mechanisms that will enable us to effectively improve our Regional planning process. The following objectives will enable us to reach this goal, especially by enhancing the involvement of the business and civic sectors:

1. Strengthening the regional approach to homeland security planning and decision-making;
2. Establishing an NCR-wide process to identify and close gaps using public and private resources; and
3. Enhancing oversight of and accountability for the management of investments and capabilities.

Goal Two – Community Engagement: The Objectives under the second Goal are critical to ensuring that constituents across the NCR have the information at their disposal to participate in their own safety and security. This goal focuses on the large and diverse array of constituents that populate the NCR and who share responsibility for realizing a safe and secure NCR. Two objectives have been set to reach this goal:

1. Increasing public preparedness through education campaigns and emergency messaging before, during, and after emergencies; and
2. Strengthening the partnerships and communications among the NCR's public, civic, private, and NGO stakeholders.

Goal Three - Prevention & Protection: The third goal addresses threats and aims to reduce vulnerabilities. The Objectives under the third Goal are necessary to enhance the Region's capacity to prevent attacks and mitigate "all-hazards" events. This depends, in part, on how well we share critical information and allocate our limited resources across the Region. For this Goal three Objectives have been set:

1. Developing and maintaining common regional standards for planning, equipping, training, operating, and exercising;
2. Strengthening the exchange and analysis of information across disciplines for improved situational awareness; and
3. Employing a performance- and risk-based approach to critical infrastructure protection across the NCR.

Goal Four - Response and Recovery: The fourth Goal addresses our capacity to respond and recover, should a threat become an actual event. It seeks to build capabilities to speed restoration of normal services, levels of security, and economic activity should an attack occur. Four Objectives were set:

1. Developing and implementing integrated response and recovery plans, policies, and standards;
2. Strengthening all components of an integrated region wide response and recovery capability;
3. Improving and expanding effective resource sharing systems and standards; and
4. Identifying and closing gaps in long-term recovery capabilities.

IMPLEMENTING OUR STRATEGIC PLAN

Implementing the core components of the *Strategic Plan* is a challenging process that involves the entire NCR stakeholder community—including the government, private, and civic sectors. We need tangible initiatives, programs, and projects that are aligned and staged to accomplish the Objectives. We must find funding sources and allocate resources, as well as put into place oversight and accountability structures and processes.

Developing Initiatives

Moving down from Vision, Goals, Objectives, and then to Initiatives, the details increase as the scope narrows for each component level. Like the other core components of the *Strategic Plan*, the Initiatives rely on the same tenets of transparency, collaboration, and inclusiveness to gain acceptance and commitment among the NCR Partners. In terms of substance, the Initiatives are a composite of related programs and projects, any or all of which may be funded and implemented at the same time. This generally requires multi-disciplinary teams to implement.

All 30 Initiatives appear in Volume II, Appendix A. A snapshot of each initiative includes: general description, key tasks and milestones, outcomes anticipated, performance measures, lead organization, and rough order of magnitude estimate of costs.

Funding Initiatives

To fund the programs and projects that comprise these Initiatives, the NCR Partners intend to rely on a variety of funding sources, including Federal grants channeled through State and local authorities. Due to recent actions by the Administration to curtail Urban Area Security Initiative funding for FY 2006 for the NCR, when and to what extent we can implement these Initiatives remains uncertain. Precise cost figures are difficult to arrive at until the supporting programs and projects are sufficiently matured. The cost estimates contained in Volume II, Appendix A are preliminary but can be useful in gauging the relative size of each investment among the Initiatives.

Gauging Performance

Performance measures play a vital role in gauging progress and making mid-course corrections. The *Strategic Plan* includes measures to gauge performance, covering the full spectrum of activity, output, and outcome measures for the core elements of the *Strategic Plan*. Generally, the *Strategic Plan* relies on outcome measures for assessing progress in reaching goals. Outcome and output measures provide a means to evaluate the status of objectives and for tracking completion of initiatives. See Volumes I and II for details on the concepts and specific measures proposed for this *Strategic Plan*. Section 4.4 in Volume I describes how performance management concepts (including measures) are being applied. Appendix A in Volume II lists the specific performance measures for each of the 30 Initiatives.

Governing and Managing Implementation

As noted elsewhere in the *Strategic Plan*, the NCR has no inherent statutory authority to act on its own and is not an operational entity. To succeed, an effective long-term strategic plan for homeland security across the NCR must rely heavily on the tenets of inclusiveness, transparency and consensus as well as a collaborative planning culture and process. The table below shows various NCR Partners and stakeholder groups and their primary role(s) in developing and/or implementing *the Strategic Plan*.

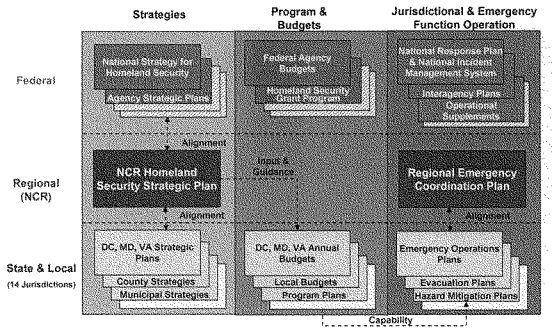
Governance and Management Roles of the Homeland Security Partners

Engagement Level	Principal Role(s)	Participating NCR Partners
Strategic	• Setting and changing the strategic course • Exercising oversight • Securing and allocating resources	• Emergency Preparedness Council (EPC) • Senior Policy Group (SPG) • Chief Administrative Officers (CAO) Committee
Programmatic	• Deploying resources • Measuring and reporting progress • Designing and managing programs & projects	• SPG • CAO Committee • NCR Grants and Program Management Office • Metropolitan Washington Council of Governments (MWCOG)
Execution	• Staffing and executing projects • Measuring and reporting progress	• NCR Grants and Program Management Office • MWCOG • Emergency Support Functions (ESFs) & Regional Program Working Groups (RPWGs)

The Emergency Preparedness Council includes a combination of government, private, and civic organizations, which ensures that stakeholder views are appropriately considered. There are other important institutions that exercise their oversight and advisory responsibilities, including Congress and the Government Accounting Office (GAO).

ALIGNING OUR STRATEGIC PLAN WITH OTHERS

This *Strategic Plan* is one part of a range of strategic, programmatic, budget, and operational plans existing in the NCR (see figure below). This *Strategic Plan* should be considered a bridge linking Region-wide and jurisdictional plans that in turn serve other vital functions. Some of these plans are operational, intended only to provide direction when responding to a major incident. Other plans examine and set investment priorities to fund initiatives identified in the *Strategic Plan*.

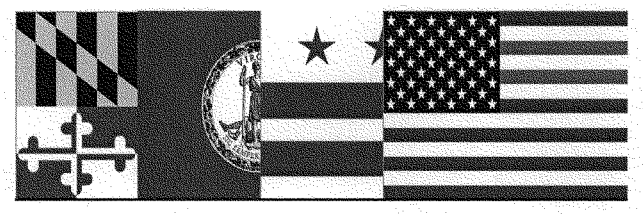


This *Strategic Plan* fills a critical need at the Regional level by aligning jurisdictional strategic planning efforts with national efforts. It also provides a means for NCR Partners to participate in jurisdictional, programmatic, and budgetary planning processes.

Our *Strategic Plan* also aligns Regional with Federal and State/local efforts through identification of common Goals, Objectives, and specific Initiatives to be implemented by the jurisdictions over the next three to five years. Although the *Strategic Plan* does not directly impact the jurisdictional and emergency operations plans or address operational level issues, the *Strategic Plan* does influence specific jurisdictional capabilities that support operational plans.

The content of the *Strategic Plan* draws on the *Eight Commitments to Action*, a joint statement committing to a collaborative approach in addressing critical areas of homeland security within the NCR signed in August 2002 by the Mayor of DC and the Governors of Virginia and Maryland. Further, the Goals, Objectives, and Initiatives in the *Strategic Plan* are also integrated with the national priorities expressed by DHS and other Federal agencies. Specifically, the *Strategic Plan* aligns closely with the *National Strategy for Homeland Security* and Homeland Security Presidential Directive 8 "National Preparedness" –related programs including the *Interim National Preparedness Goal* and the *Target Capabilities List*. By incorporating key elements of local and federal strategic and operational plans, this *Strategic Plan* serves as the region-wide guide to creating a safe and secure National Capital Region.

NATIONAL CAPITAL REGION HOMELAND SECURITY STRATEGIC PLAN



A strategic partnership to manage risk and strengthen capabilities

Volume I: Core Plan

Washington, DC
September 2006

NATIONAL CAPITAL REGION HOMELAND SECURITY STRATEGIC PLAN

This document represents our strategy for improving regional preparedness to manage homeland security risks across the National Capital Region. Using the *Strategic Plan* as a guide, we will continue to build targeted and enduring capabilities shared among the NCR Partners in a coordinated, efficient, and effective manner. As stewards of the public trust and its resources, we are committed to exercising rigorous oversight to implement this Strategic Plan.

A broad cross-section of Federal, State, and local government officials and first responders, along with many non-profit and for-profit organizations, made significant contributions to develop the components of this *Strategic Plan*. These NCR Partners engaged in a transparent, inclusive, and collaborative process to reach a consensus over the *Strategic Plan's* key components.

We are committed to work together to realize our common Vision—***Working Together Towards a Safe and Secure National Capital Region.***

Gerald E. Connolly
Chairman
National Capital Region
Emergency Preparedness Council

Edward Reiskin
Deputy Mayor for Public Safety and Justice
District of Columbia

Dennis Schrader
Director, Maryland Governor's Office of Homeland Security
State of Maryland

Robert Crouch
Assistant to the Governor for Commonwealth Preparedness
Commonwealth of Virginia

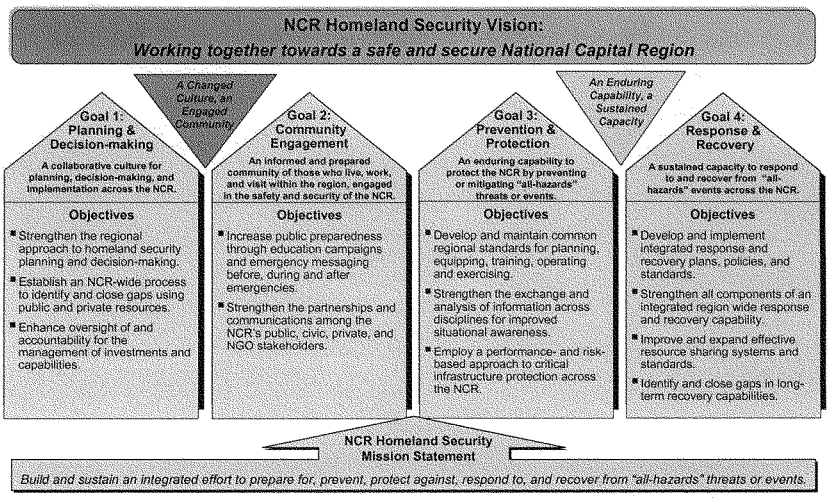
Thomas Lockwood
Director
Office for National Capital Region Coordination

Executive Summary

Since the terrorist events of September 11, 2001, the 14 jurisdictions that comprise the National Capital Region (NCR)[1] and our constituents have significantly improved Regional preparedness. This *National Capital Region Homeland Security Strategic Plan* developed by the NCR Homeland Security Partners[2] will further strengthen preparedness in the Region by providing a plan to integrate preparedness programs across all jurisdictions. We developed the *Strategic Plan* using an inclusive and transparent process building on the solid work done by the NCR Partners in the past.

The *Strategic Plan* sets forth our Vision, Mission, long-term strategic Goals, near-term Objectives, and implementation Initiatives to build and sustain an integrated effort to prepare for, prevent, protect against, respond to, and recover from all-hazards threats or events. The *Strategic Plan* provides a framework and guidance for programming, budgeting, and execution of homeland security programs in the NCR over the next three years and serves as the basis for planning for the next five years. The *Strategic Plan* lays out a Region-wide strategy for managing risk and strengthening homeland security capabilities across all phases of preparedness within the NCR.

The figure below shows how our Vision, Mission, Goals, and Objectives relate to one another.



The essence of our *Strategic Plan* is to **manage homeland security risks across the NCR by building targeted and enduring capabilities shared among the NCR Partners in a coordinated, efficient, and effective manner**. Assessing risks, identifying vulnerabilities, and understanding their consequences are critical to determining *what* should be done. *How* we will build and sustain essential capabilities across the Region depends on collaboration, coordination, information, and resource sharing. This *Strategic Plan*—along with other State, local, and National plans and the National Preparedness Goal—provides an integrated path forward for strengthening our capabilities and enhancing our capacity to realize our Vision for a safe and secure NCR.

The NCR's homeland security Mission is to **"build and sustain an integrated effort to prepare for, prevent, protect against, respond to and recover from 'all-hazards' threats or events."** This represents the foundation upon which the remaining core elements of this *Strategic Plan* rest.

Our Vision—**"Working together towards a safe and secure National Capital Region"**—reflects our collective commitment to set Goals and Objectives and to implement Initiatives that drive toward realizing that Vision.

Four overarching themes emerged during the *Strategic Plan* development process that we later transformed into our strategic Goals. These themes are the need for: (1) a **changed culture** that emphasizes more collaboration; (2) an **engaged community** that is well informed, prepared, and self-reliant; (3) an **enduring capability** that serves our preparedness needs long-term; and (4) a **sustained capacity** to respond and recover if a major event occurs.

12 Objectives support our four Goals. They are the product of considerable discussion and debate among the NCR Partners. Numerous gap and shortfall analyses, conducted by the NCR's homeland security senior leaders and independent analysts, helped define the Goals. In addition, *The National Capital Region Program and Capability Enhancement Plan*, the *Emergency Management Accreditation Program (EMAP), National Capital Region Regional Assessment Report*, and the *Nationwide Plan Review* set benchmarks for establishing Region-specific prevention, preparation, response, and recovery capabilities and identify NCR-specific gaps.

The implementation of the 30 Initiatives will accomplish the Objectives. Appendix A describes these Initiatives in detail. We have broken down the Initiatives into numerous programs and projects that comprise our action plan. Performance measures for each Initiative will keep us focused and moving forward. Rough cost estimates for each Initiative provide a preliminary understanding of resource requirements, pending more detailed analysis of the key programs and projects to be implemented. By using the *Strategic Plan* to make decisions about implementation funding and Initiative program planning activities, we will ensure capability enhancements across NCR jurisdictions are consistent with Regional Goals and priorities.

The *Strategic Plan is not* an operational emergency plan. It does not explain how the Region should respond to any particular emergency. Because emergency response is a local responsibility—as recognized by the National Response Plan—each local jurisdiction has developed its own set of emergency operations plans. Those operations plans prescribe how each jurisdiction in the Region will respond to any disaster today; the *Strategic Plan* establishes the path for improving future response, recovery, prevention, and protection.

We will measure our progress against this *Strategic Plan* and hold ourselves accountable for continuous improvement. We recognize the need to update the *Strategic Plan* on a recurring basis to reflect changed conditions. As specific threats and the nature of all-hazards evolve, we will amend and adapt our *Strategic Plan* as necessary. Finally, this *Strategic Plan* should be considered a capstone document that guides the development of other planning efforts across the entire spectrum of preparedness in the Region.

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[1] See Appendix H for a detailed explanation of which entities constitute the National Capital Region. The terms "NCR" and the "Region" are synonymous with the National Capital Region in this document.

[2] NCR Homeland Security Partners is a group that consists of the NCR's local, State, Regional, and Federal entities, citizen community groups, private sector, non-profit organizations, and non-governmental organizations. The terms "NCR Partners," "we," and the "Partners" are synonymous with NCR Homeland Security Partners in this document.

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1. Purpose, Scope, and Methodology

1.1. Purpose

The purpose of the *Strategic Plan* is to provide the framework and guidance for the National Capital Region's homeland security efforts (programming, budgeting, and execution) over the next three years and to serve as the basis for planning for the next five years. We developed the *Strategic Plan* because a well-defined, comprehensive strategic plan is essential for assuring that the Region is prepared.

1.2. Scope

The *Strategic Plan* is a high-level unifying plan for integrating all-hazards *homeland security* activities in the NCR. We define "homeland security" as "a concerted regional effort to prevent terrorist attacks within the NCR, reduce the Region's vulnerability to all-hazards events, and minimize the damage and recover from events that do occur." In the *Strategic Plan*, we lay out the Region's long-term homeland security strategic Goals and Objectives for the next three to five years and specific Initiatives, cost estimates, and performance measures for fiscal years 2007 through 2009.[1]

The Initiatives address a number of key Region-wide mission areas, including planning, communications, citizen engagement, intelligence, counterterrorism, critical infrastructure protection (CIP), preparedness, training and exercises, emergency response, and recovery. These Region-wide mission areas align with and support the following six critical mission areas identified in the *National Strategy for Homeland Security*: Intelligence and Warning, Border and Transportation Security, Domestic Counterterrorism, Protecting Critical Infrastructure and Key Assets, Defending Against Catastrophic Threats, and Emergency Preparedness and Response.

NCR Practitioner Disciplines

- Police/Law Enforcement
- Fire Services
- Emergency Management
- HazMat Response
- Search and Rescue
- Public Health
- Hospitals/Health Care
- Human Services
- Transportation
- Information and Planning
- Environmental Response
- Volunteer Management
- Public Works
- Intelligence
- Regional Coordination
- Federal Coordination

The Initiatives also address how the mission areas are supported by the roles, responsibilities, and activities of the Region's practitioner disciplines within the context of the National Incident Management System (NIMS), the National Response Plan (NRP), and Emergency Support Functions (ESF).[2] We include guidance on how practitioner disciplines' roles should be developed, prioritized, and coordinated as they relate to homeland security.

The cost estimates included in this plan are rough order of magnitude (ROM) estimates designed to assist in the long-term budgeting process. We should leverage the *Strategic Plan* and its priorities with all available funding sources for homeland security activities, including jurisdictional funding as well as grants made available through the Department of Homeland Security (DHS) and other Federal agencies.

The *Strategic Plan's* content and priorities have been developed entirely by the Region's local, State, Regional, and Federal stakeholders through a consensus-based process and under the direct guidance of the NCR's Homeland Security Senior Policy Group (SPG). We intend the *Strategic Plan* to be used as a guiding framework by all 14 jurisdictions within the NCR, Regional governmental or quasi-

[1] In the *Strategic Plan*, fiscal year refers to the period from October through September.

[2] The NCR is currently in the process of implementing all aspects of NIMS, including transitioning to Regional Emergency Support Functions (R-ESF) that align directly to the National ESFs that are part of the Incident Command System (ICS). The *Strategic Plan* complies with NIMS and meets the requirements of a regional strategy delineated by DHS.

governmental organizations, private sector stakeholders, non-governmental and volunteer organizations, and private citizens.

We provide a framework for the contribution and participation of Federal stakeholders in the NCR homeland security strategic planning process in the *Strategic Plan*. We identify areas in which Federal entities can participate in the proposed Initiatives, areas in which Federal–local partnerships would benefit the Region as a whole, and areas where Federal subject matter experts (SME) can assist State and local jurisdictions. The Director of the Department of Homeland Security's Office for National Capital Region Coordination (NCRC) will coordinate all Federal participation in developing and implementing the *Strategic Plan*.

The *Strategic Plan* is not an operational plan and is not a replacement for local and State emergency operations plans. Detailed operational plans, where necessary, will be updated by Initiative leads as the strategic Initiatives are implemented. The *Strategic Plan* does recognize the need to align jurisdictional response plans, however, and addresses this issue in Initiative 4.1.2. The *Strategic Plan* is also not an investment plan. It does not allocate funding to any of the Initiatives or change the funding, budgeting, and resource allocation processes for individual funding sources.

The Strategic Plan is not an operational plan. Refer to appropriate jurisdictional operational plans for details on how the Region conducts incident management and emergency support functions.

We will periodically review and update the *Strategic Plan* on a three-year cycle to ensure continued alignment with the Region's evolving priorities.

1.3. Methodology

We used a consensus-building approach, a combined risk- and capabilities-based analysis, and performance measures to create the *Strategic Plan*.

We used a consensus-building approach throughout all phases of the *Strategic Plan's* development that relied on five tenets: (1) inclusion of all NCR Partners, (2) involvement of NCR stakeholders throughout the strategic planning process, (3) provision of a variety of forums for stakeholder involvement, (4) respect of jurisdictional authority, and (5) ensuring the preparedness needs of all jurisdictions are balanced.

We used a risk-based approach to identify threats, vulnerabilities, and consequences of the risks facing the Region. We believe that an effective risk-based approach recognizes that risk must be managed from a system perspective and that funds must be targeted to the greatest areas of risk exposure. We used a capability-based approach to identify the necessary Regional target capabilities in order to address the identified risks.

We incorporated performance measures and targets into the *Strategic Plan* (see Appendix A-2) so that we will be able to determine how well we are accomplishing our Mission. Strategic performance measurements will enable us to determine our progress against the Initiatives and whether the Initiatives are producing expected results.[3]

[3] Appendix E discusses methodology and Appendix B discusses performance measures criteria.

2. The Core Elements of the *Strategic Plan*

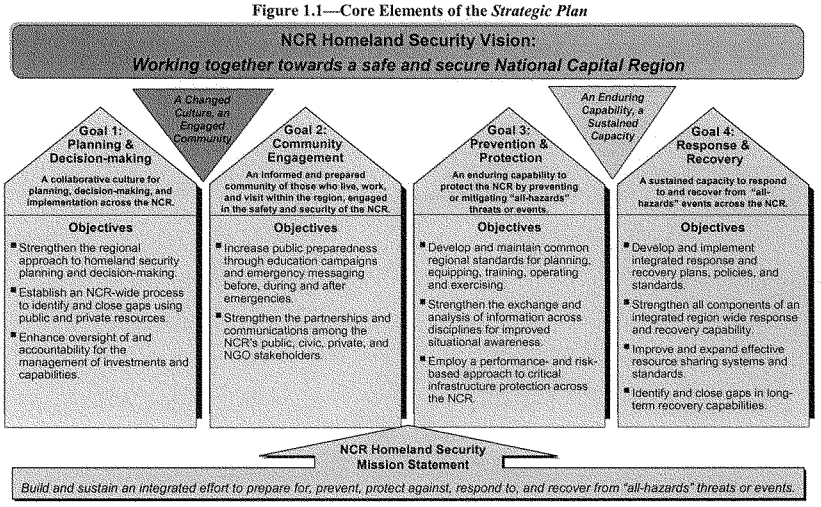
The *National Capital Region Homeland Security Strategic Plan* guides collective efforts to manage homeland security risks across the NCR resulting in targeted and enduring capabilities shared among the jurisdictions in a coordinated, efficient, and effective manner.

To achieve this end, the *Strategic Plan* contains core elements similar to those found in many plans with comparable strategic aims:

- *Vision*—the ideal end-state we anticipate our *Strategic Plan* will enable us achieve
- *Mission*—the fundamental purpose the NCR Partners are committed to carrying out as a collective enterprise
- *Key Challenges*—the external and internal circumstances that shape the specifics of our *Strategic Plan*
- *Goals*—broadly stated long-term outcomes that, if reached, collectively enable us to realize our Vision
- *Objectives*—key, measurable milestones along the path toward reaching each Goal
- *Guiding Principles*—those inviolate principles that guide the NCR Partners' behavior in developing and executing our *Strategic Plan*

Figure 1.1 below shows how the Vision, Mission, Goals, and Objectives relate to one another.

Figure 1.1—Core Elements of the *Strategic Plan*



2.1. Mission and Vision

Our Vision defines the ultimate end-state as "***a safe and secure National Capital Region***" and commits the NCR Partners and all Regional jurisdictions to ***work together*** to reach it.

As representatives of our jurisdictions and organizations, and as stewards of the Region's safety and security, it is our responsibility to **"Build and sustain an integrated effort to prepare for, prevent, protect against, respond to, and recover from 'all-hazards' threats or events."** This is the Mission of our *Strategic Plan* and the foundation for its Goals and Objectives.

Guiding Principles

- *Strengthen Regional coordination among all partners to gain synergy while sustaining jurisdictional authority and enhancing capabilities.*
- *Implement homeland security policies and programs while maintaining our constitutionally based society, particularly the civil rights and civil liberties of the NCR's diverse population, including persons with disabilities.*
- *Prepare for "all-hazards," including manmade and naturally occurring emergencies and disasters.*
- *Advance the safety and security of the NCR in ways that are enduring, relevant, and sustainable.*
- *Foster a culture of collaboration, respect, communication, innovation, and mutual aid among all the Partners across the NCR.*
- *Adopt best-practice, performance-based approaches to staffing, planning, equipping, training, and exercising for all NCR Partners.*
- *Strive for an optimal balance of preparedness capabilities across the NCR that recognizes differing risks and circumstances and leverages mutual aid agreements.*

2.2. Guiding Principles and Emerging Themes

In our work on the *Strategic Plan,* we identified four major themes that then guided us throughout the process:

1. A **changed culture** that emphasizes more collaboration among all the NCR Partners;
2. An **engaged community** that is well informed and takes responsibility for their own safety and security;
3. An **enduring capability** in place that serves the NCR's preparedness needs over the long-term; and
4. A **sustained capacity** to respond and recover from any major event on whatever scale.

These themes underpin the Guiding Principles[4] depicted in the text box to the right. These Principles establish a standard of behavior for delivering on the promises contained in the *Strategic Plan.* The Guiding Principles not only help shape the *ends* (Goals and Objectives) but also provide a basis for prioritizing the *ways* (specific Initiatives) and determining the *means* (resources) included in the *Strategic Plan.* Ultimately, these Principles guide our approach to realizing our Vision for a safe and secure NCR.

2.3. Assessing Our Situation

Our *Strategic Plan* must address conditions internal to the functioning of the NCR and the factors and threats externally imposed on us. This section provides an overview of these challenges. Our intent is to provide enough general information to establish the rationale for the choices we made in spelling out the specifics of the other key elements of our *Strategic Plan.* For additional detail, see Chapter 3.

The NCR faces numerous internal challenges. We define internal challenges as factors or considerations regarding how the NCR itself is organized and functions. These include how we are staffed, resourced, and governed; statutory limitations on the NCR's authority; and other considerations. One major internal challenge is that the NCR is not organized as an operational entity and does not have the "authority" to execute operations as an independent body. The NCR is a collection of sovereign jurisdictions that are bound to each other by common issues—common geography, mutual interests,

[4] From summer 2004 through fall 2005, the Partners leveraged work already done in the Region, including the *Eight Commitments to Action* (agreed to by the Governors of the State of Maryland and the Commonwealth of Virginia, as well as the Mayor of the District of Columbia, during the NCR Homeland Security Summit on August 5, 2002) and the *FY 2003 NCR Urban Area Homeland Security Strategy* (focused on the Urban Area Security Initiative (UASI) grant program). The *Eight Commitments to Action* committed the Region to improve coordination in preventing, preparing for, and responding to a terrorist incident. The *2003 Strategy* was developed based on the results of the NCR assessment completed by communities in July 2003—the first region in the Nation to do so. The NCR Partners worked closely together to develop a framework for an updated Regional strategic plan and agreed on this set of Guiding Principles in September 2005.

shared boundaries and infrastructure, mutual beneficial and interrelated economies, shared populations, and shared destinies. Therefore, the NCR's authority only exists to the extent the member jurisdictions are willing to extend decision-making rights to the NCR.

We are affected by factors and potential events in our external environment of which we have little or no control. One major external consideration is the geographic, demographic, economic, and political diversity in the NCR. The NCR[5] includes 11 local jurisdictions, two States, the District of Columbia, three branches of the Federal government, 7,000 non-profit organizations, and a large and diverse for-profit sector that employs nearly 500,000 people. Together with its residents and visitors, our population exceeds four and a half million on any given day. Integrating the needs and concerns of all of these groups into a homeland security strategy poses immense challenges.

Another major external challenge is the need to prepare for both terrorist threats and other manmade and natural events. Because we operate with a finite set of resources and in an uncertain environment with imperfect information, we must make difficult choices when we establish our priorities and the resources we commit to these priorities.

The *Strategic Plan* addresses external and internal challenges by defining Goals and Objectives for the entire Region for the next three to five years and by implementing a series of priority and secondary Initiatives over the next three years. These Goals, Objectives, and Initiatives are discussed in the next section.

2.4. Setting Goals and Objectives and Implementing Initiatives

2.4.1. Setting Goals

To realize our long-term Vision of a "Safe and Secure NCR," we have set a number of end-states (Goals) and milestones (Objectives). The four themes of a changed culture of collaboration, community engagement, enduring preparedness capabilities, and sustained response and recovery capacities are the foundation for the four Goals. The Goals are briefly described in Figure 1.1. The following provides additional explanation of the origin of the Goals and their intent.[6]

Planning & Decision-making Goal: This goal establishes the mechanisms that will enable us to effectively attain the other Goals. Specifically, this goal aims to improve our Regional planning process.

Community Engagement Goal: This goal focuses on the large and diverse array of constituents that populate the NCR. They share responsibility for the success of this grand enterprise to realize a safe and secure NCR.

Prevention & Protection and ***Response & Recovery***: These two Goals directly address the outcomes we need to attain across the full spectrum of preparedness—prevention, protection, response, and recovery. These latter two Goals collectively address the nuts and bolts of NCR preparedness and consume the largest share of resources. The Prevention & Protection Goal addresses threats and reduces vulnerabilities. The Response & Recovery Goal builds capabilities to speed restoration of normal services, levels of security, and economic activity should an attack occur.

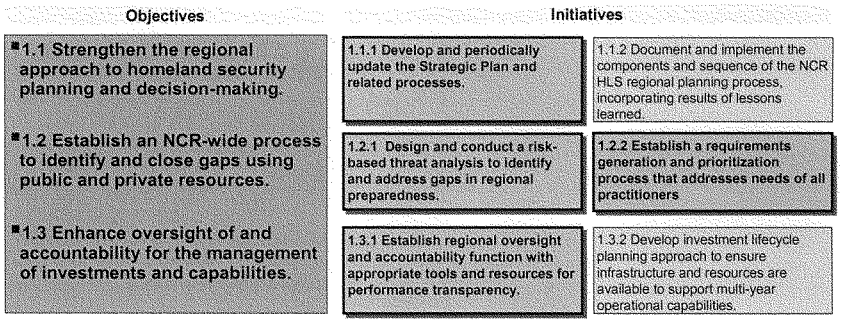
[5] See Appendix H for a detailed explanation of which entities constitute the NCR.
[6] We did not intend to impart any priority by numbering the Goals. Each Goal has equal standing but addresses different challenges in realizing our Vision.

2.4.2. Setting Objectives and Implementing Initiatives

We have established specific Objectives that serve as milestones toward the accomplishment of each Goal. This approach breaks down each Goal into more concrete (and measurable) components.[7] Figure 1.1 shows 12 supporting Objectives that are essential (but not necessarily sufficient) to attaining these Goals.

Goal One: The Objectives under the first Goal, ***Planning & Decision-making***, are essential to strengthening the approach to regional preparedness planning. We agree that a collaborative planning and decision-making culture is critical to the success of the *Strategic Plan*. Goal One reflects our commitment to involve all stakeholders in planning and decision-making processes, especially by enhancing the involvement of the business and civic sectors. Figure 1.2 shows the Initiatives that support the Objectives under the first Goal. The highlighted Initiatives represent those identified by the NCR stakeholders as priorities.

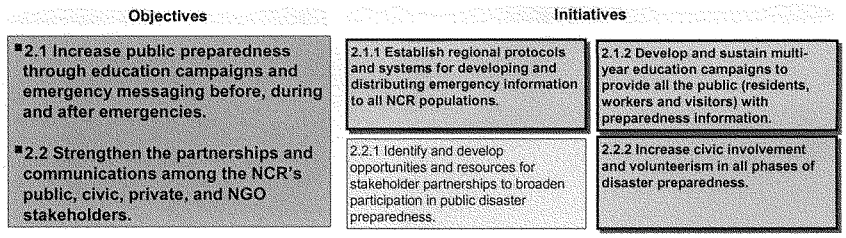
Figure 1.2—Goal 1 (Planning & Decision-making)



Goal Two: The Objectives under the second Goal, ***Community Engagement***, are critical to building enduring capabilities and enhancing the overall state of preparedness within the NCR. An active community that does its part to ensure its own safety and security is necessary for the long-term success of the *Strategic Plan*. Given that a significant percent of critical infrastructure in the Region is owned and operated by the private sector, public authorities and commercial partners must work together to ensure safety and security. Non-governmental entities also play a critical support role by delivering key services such as mass care, human services, medical, and other community services. Community engagement Initiatives require cross-jurisdictional leadership and coordination by government leaders and extensive cooperation from community and private sector leaders. Figure 1.3 below details the Objectives and Initiatives for Goal 2.

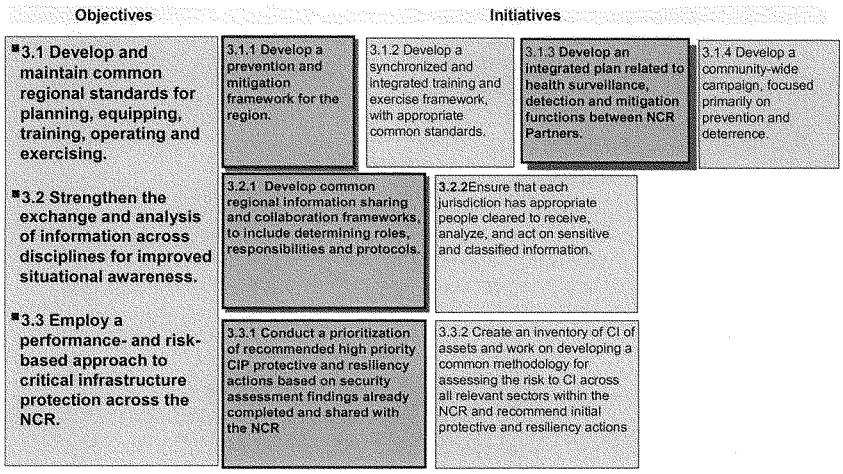
[7] While we don't expect the Vision and Goals to change over the long term, we anticipate additional Objectives will emerge to take the place of those already accomplished. The Initiatives, supporting programs, and projects will also evolve to accomplish these new emerging Objectives. Thus, the *Strategic Plan* will evolve over time as circumstances change.

Figure 1.3—Goal 2 (Community Engagement) Objectives and Initiatives



Goal Three: The Objectives under the third Goal, ***Prevention & Protection***, are necessary to enhance the Region's capacity to prevent attacks. The ability to prevent attacks is a function not only of the quality and support provided to public safety and security activities, but also of the efforts designed to deter terrorists from targeting the NCR in the first place. We recognize the need for the Region to quickly restore and sustain critical functioning services and protect against the impacts of attacks and all-hazards events. Protection over a sustained period is intractably linked to the information sharing and collaborative coordination mechanism in place in the Region. Figure 1.4 below details the Objectives and Initiatives for Goal 3.

Figure 1.4—Goal 3 (Prevention & Protection) Objectives and Initiatives



Goal Four: The Objectives under the fourth Goal, ***Response & Recovery***, are necessary to develop the capacity to manage an all-hazard event when it occurs. We cannot accomplish our Mission through the mere procurement of first-rate response assets, implementation of effective emergency response procedures, or development of comprehensive recovery plans. We must also build a sustained response and recovery capacity that will be available for Regional authorities to employ at a moment's notice. The post-Katrina assessments taught the NCR that, although a focus on terrorism is important, the need to have sustained all-hazards capacity to respond immediately and recover quickly is critical. Without this capacity, we understand the potentially devastating impact that an event in the Region would have on the jurisdictions, the Nation, and the world. Figure 1.5 below details the Objectives and Initiatives for Goal 4.

Figure 1.5—Goal 4 (Response & Recovery) Objectives and Initiatives

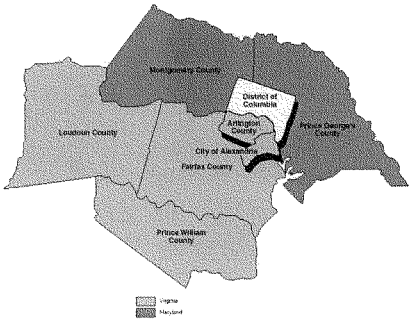
Objectives	Initiatives		
▪**4.1 Develop and implement integrated response and recovery plans, policies, and standards.**	**4.1.1 Establish a corrective action program to modify plans by addressing gaps identified in analyses, exercises & events.**	4.1.2 Align and integrate response plans across jurisdictions (including Federal partners), with emphasis on continuity of government, operations, and evacuation.	4.1.3 Define capabilities and expectations for decontamination and re-entry.
▪**4.2 Strengthen all components of an integrated region wide response and recovery capability.**	**4.2.1 Develop coordinated and standardized protocols for mandatory notification of regional partners during an emerging incident to maintain situational awareness.**	4.2.2 Develop and implement a plan for regionally coordinated adoption and employment of National Incident Management System (NIMS).	4.2.3 Develop and implement enhanced architecture, infrastructure, and concept of operations for secure regional interoperable communications
▪**4.3 Improve and expand effective resource sharing systems and standards.**	4.3.1 Develop a regional resource management system for deployment and utilization of resources.	4.3.2 Establish and implement regional, interdisciplinary protocols (e.g. Mutual Aid agreements).	4.3.3 Establish and implement regional, interdisciplinary standards for equipment interoperability.
▪**4.4 Identify and close gaps in long-term recovery capabilities.**	**4.4.1** Model and exercise the appropriate 15 DHS scenarios to assess region-wide impact.	4.4.2 Align public, private and NGO resources with identified needs for response and recovery.	4.4.3 Review existing programs, mutual aid agreements, MOUs, and legislation to identify and close gaps in facilitating long-term recovery.

Appendix A provides additional detail on each Initiative, including performance measures, timeline, and rough cost ranges where detail permits. Section 4.2 provides an overview of the implementation timeline.

3. Problem Definition and Risk Assessment

3.1. Regional Context

The NCR faces unique homeland security and preparedness challenges because the Nation's capital and the center of our Federal government resides within its boundaries. In addition to being the home of more than 4.5 million Americans and the workplace of more than 340,000 federal workers, an average



of 20 million tourists visit the NCR each year. The NCR is the epicenter of all three branches of Federal government, 231 Federal departments and agencies, and more than 7,000 political, social, and humanitarian non-profit organizations. It is the home to monuments and icons of American life, history, and politics—including some of the most important symbols of national political power and democratic heritage.

In addition to its unique role as the Nation's capital, the NCR is a prominent metropolitan center by other standards. It is the fourth largest U.S. metropolitan area in terms of population and gross regional product and the home to more than 40 colleges and universities and a large number of companies. An attack within the NCR would have a profound political, economic, and psychological effect on the entire Nation. A direct terrorist attack or natural or manmade disaster within the NCR could produce catastrophic losses in terms of human casualties and political and economic damage, as well as profound damage to public morale and confidence.

The international significance of such an incident should not be underestimated. The NCR bears an additional responsibility as a home to international business and diplomacy. The number of foreign national residents in or visitors to the Region at any one time exceeds that of any other metropolitan area in the United States. In addition to embassies and chanceries from virtually every country in the world, the World Bank, the International Monetary Fund, and the Organization of American States are all headquartered in the Region.

The diverse and demographic characteristics of the Region—ranging from the dense urban environment of the District of Columbia, to suburban centers such as Tyson's Corner in Fairfax County and Rockville Town Center in Montgomery County, to the more rural areas in western Prince William County, to the areas adjacent to coastal communities in Prince George's County—add a layer of complexity to the Region. An intricate network of major interstate highways, railways, key bridges, and major East Coast arteries connect these varying geographies and jurisdictions.

The Region's populace is a fluid composite of residents, visitors, and workers. Many members of the workforce live in outlying suburbs as far away as West Virginia, southern Pennsylvania, and the Tidewater area of Virginia and commute on a daily basis to jobs in downtown urban areas.

3.2. Regional Risks and Threats

The NCR presents an attractive array of targets to terrorists, and its national and global significance magnifies the potential for cascading effects in the wake of catastrophic natural or manmade disasters. The *Strategic Plan's* focus on critical, prioritized elements will improve homeland security by making it more difficult for terrorists to launch attacks and by lessening the impact of any attack or disaster that does occur.

The complexity and importance of the NCR, combined with the uncertain nature of the terrorist threat and manmade and natural disasters, makes effective implementation of risk management a great challenge. In the Situation Assessment phase of the *Strategic Plan's* development, we used a variety of assessments and analyses to identify key gaps in preparedness. We identified key threats and vulnerabilities, considered impacts, and provided the basis for prioritizing the Initiatives. This preliminary review of threats and vulnerabilities yielded valuable insights and served as a starting point for a risk management approach to Regional preparedness.

In addition to our preliminary risk assessment, each State jurisdiction has completed an extensive hazard analysis to—

- Identify the types of hazards;
- Assess the levels of risk;
- Assess the consequences and impacts of hazard events;
- Prioritize the hazards; and
- Forecast emerging threats.

These State analyses also point to the need for a coordinated homeland security strategy. For example, the analyses concluded that coordinated homeland security actions will reduce the burden of extensive recovery operations, minimize future economic loss, and limit human suffering.

Through the work of the NCR Partners, the Critical Infrastructure Protection Regional Programmatic Working Group (CIP RPWG)[8], and others, we recognize the need for a more formal, in-depth risk assessment based on a common framework (or frameworks) and created a major priority Initiative to meet this need.[9]

Over the past few years, several vulnerability assessments have been completed for the NCR and its member jurisdictions. These studies used guidelines provided by the Federal Emergency Management Agency (FEMA) regarding State and local mitigation plan development. The studies confirm the NCR

[8] The CIP RPWG strategy has two major goals supportive of the overall risk-based approach of the *Strategic Plan*: (1) *Decision Support*—to build capacity for making prudent investments in infrastructure risk reduction projects by private and public officials; and (2) *Implementation Support*—to take such immediate steps as are mandated or clearly compelling to directly contribute to making the NCR's critical infrastructures more secure and resilient. The first addresses the long-range investments to fundamentally enhance the Region's security, while the second meets those challenges that are most pressing today. See Appendix E.1 for a detailed discussion of the risk-based approach and further explanation of the CIP RPWG strategy.

[9] See Initiative 1.2.1 "*Design and conduct a risk-based threat analysis to identify gaps in regional preparedness.*" This Initiative calls for development of a NCR risk assessment methodology and a Region-wide threat analysis, leveraging assessments and analyses to date conducted by the States, local jurisdictions, and Federal Partners.

is vulnerable to numerous natural, industrial, and technological hazards, the most frequent of which are severe weather and hazardous materials spills. The NCR is also vulnerable to civil disorder and terrorist attacks. Table 3.1 summarizes the key Regional risks, based on hazards and vulnerabilities identified to date. Data was compiled through a review of "best state practices" and interviews.

Table 3.1—Summary of Relative Risks to Region[10]

Hazard Analysis and Vulnerability Matrix			
Hazard Agent	**Probability**	**Potential Population Impact**	**Potential Structural Impact**
Urban Floods	Medium	Low	Medium
Winter Storms	Medium	Low	Medium
Tornadoes	Low	High	Medium
Thunderstorms	Medium/High	Low	Low
Hurricanes	Low	High	High
Extreme Heat/Cold	Low	Low	Low
Virus, Epidemics	Low	High	Low
Special Events-Parades	High	Low	Low
Special Events-Demonstrations	High	Low	Low
Special Events-Civil Disorder	Low	Low	Low/Medium
Hazardous Materials Industrial & Technological	Low	Medium	Low
Hazardous Materials Infrastructure/Utilities	Medium	Low/Medium	Low
Explosions (Manhole Covers)	Low/Medium	Low	Low
Workplace Violence	Low	Low	Low
Transportation Accidents	Medium	Low	Low
Terrorism-Conventional Weapons	LES	LES	LES
Terrorism-Incendiary Devices	LES	LES	LES
Terrorism-Biological & Chemical Agents	LES	LES	
Terrorism-Radiological	LES	LES	LES
Terrorism-Nuclear Agent	LES	LES	LES
Terrorism-Cyber-Terrorism	LES	LES	LES
Terrorism-Weapons of Mass Destruct.	LES	LES	LES

In determining the hazards and vulnerabilities detailed above, we identified many of the vulnerable Critical Infrastructure/Key Resource (CI/KR) areas at high risk in the NCR.[11] For example, the government facilities and defense industry locations in the NCR are ideal targets for terrorist attacks. A hazardous incident in the District of Columbia would affect the operations of Federal agencies, legislative processes on Capitol Hill, and judicial proceedings of the Supreme, Federal Circuit, and District of Columbia Court systems. The Pentagon is an ideal target for terrorists because of its role as both a logistical center of military operations and a symbol of American military might. The government, defense, and private industries are inextricably linked in the NCR—an attack on one would necessarily have a negative impact on the others. An attack on any number of the monuments scattered throughout the District of Columbia and surrounding areas would have a profound psychological effect on residents, visitors, and the entire Nation.

The CI areas of transportation and energy sectors are also at risk—they are heavily depended upon by the Region's population and they are intricately interdependent with other sectors in the Region. The

[10] In Table 3.1, Law Enforcement Sensitive data has been redacted and is marked in the table with "LES."
[11] Definition and descriptions of the CI/KRs are detailed more fully in the 2006 *National Infrastructure Protection Plan.*

NCR transportation system includes two major airports, the second largest rail transit system, and the fifth largest bus network in the United States. As thousands of commuters use mass transportation to travel to and from work on a daily basis, any disruption to the transit system would have a serious impact on the Region's business and the Nation's government operations. An attack on the transportation system could lead to mass casualties and injuries, necessarily leading to great demands on the medical and public health community.

Given the Region's dependence on the public health and medical community, an attack on or a disruption to the public health and medical infrastructure would leave the Region's population exceptionally vulnerable. The NCR relies on its medical and public health community to handle the day-to-day and emergency medical care of Regional residents, visitors, and workforce personnel. In the event of a hazardous incident in the Region, the population would be significantly dependent on the public health and medical community to act as first responders, contribute to the appropriate communication and messaging during and after an incident (e.g., safety, quarantine measures, access to health care), and lead the mass medical effort to treat injuries and care for the population's mental health.

By identifying the CI of the Region, assessing its physical, demographic, political, and economic characteristics, and determining its overall risk and associated vulnerabilities, we identified related gaps in our capabilities, some of which are[12]—

- Standardized alert notification procedures;
- Region-wide strategic communications plan;
- Public information dissemination during all phases of emergencies;
- Public–private coordination;
- Inclusion of private sector information in Regional planning;
- Understanding of long-term recovery issues;
- Special needs considerations for response and recovery;
- Mass care;
- Regional analysis of threats (including hazards), vulnerabilities, and consequences;
- Regional mitigation plan; and
- Resource management and prioritization based on Regional risk assessment and mitigation plan.

The *Strategic Plan* focuses attention and resources on Initiatives that address the highest risk areas for the Region. The gaps in capabilities identified above, drawn from recent assessments as summarized in Table 3.1, provide a sense of the Region's vulnerabilities identified to date.[13] These vulnerabilities, considered alongside threat and impact factors, provide a basis for determining those areas at highest risk and developing the Regional Goals, Objectives, and prioritization of Initiatives outlined in this *Strategic Plan.*

[12] This compilation of Regional vulnerabilities were identified during the development of the *Strategic Plan* and discussed by NCR Partners in November 2005. The latter five listed were identified by *Emergency Management Assessment Program NCR Regional Assessment Report*, April 2006.

[13] See Priority Initiative 1.2.1, which calls for a more thorough risk assessment of the NCR. See Table 5.4 for a mapping of how these gaps in capabilities are addressed in the *Strategic Plan*.

4. Implementation and Sustainment of the *Strategic Plan*

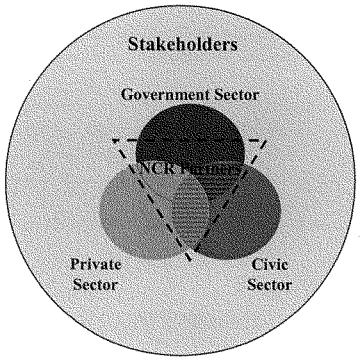
4.1. Organizational Roles, Responsibilities, and Coordination

Because of its closely linked political, economic, and social communities, the NCR has a long history of collaboration and coordination among its stakeholder groups, particularly at the operational level and in local incident management. Implementing and sustaining the 30 Initiatives set forth in the *Strategic Plan*, however, will require unprecedented coordination across Regional boundaries. This section identifies and defines key NCR stakeholders, roles and responsibilities, and the Region's coordinating mechanisms and processes for implementing and sustaining its homeland security strategy.

4.1.1. NCR Stakeholders

A homeland security stakeholder is any party who affects or is influenced by preparedness activities in the Region. For the purposes of this *Strategic Plan*, stakeholders are categorized into three major sectors: the Government, Private, and Civic. The NCR Partners are a sub-category of stakeholders within these three categories (depicted in Figure 4.1).

Figure 4.1—NCR Partners



Government Sector

The NCR is home to 14 independent State and local governments and the three branches of the Federal government. Government stakeholders have widely varied roles and responsibilities, including being providers, facilitators, or recipients of first responder resources and services—as well as being residents of the Region. In the strategic planning process, Federal entities play primarily supporting and advisory roles to the NCR and the jurisdictions through their statutory functions, including specific agency responsibilities and authorities.

Because of the unique nature of the NCR, some Federal entities have specific roles that impact the *Strategic Plan*. For example, the Office for NCRC within DHS, established by the *Homeland Security Act of 2002*, is charged with overseeing and coordinating Federal programs for and relationships with State, local, and Regional authorities in the NCR.[14] Through the Joint Federal Committed (JFC) and

[14] Under the authority of the *Homeland Security Act of 2002*, the NCRC acts as an advocate for the resources needed by State, local, and Regional authorities to implement efforts to secure the homeland and serves as a liaison between the Federal

other coordinating mechanisms, the Director of the NCRC serves as a liaison between the Federal government, State, local, and Regional authorities, and private sector entities in the NCR. The JFC promotes a focused Regional effort among representatives from the Executive, Legislative, and Judicial branches of the Federal government within the NCR.[15]

Other examples of Federal impact on the *Strategic Plan* include the important role of the Department of Defense, through U.S. Northern Command's subordinate headquarters Joint Force Headquarters–National Capital Region (JFHQ-NCR). JFHQ-NCR, in coordination with other agencies, is responsible for the defense of the Region. Other entities (e.g., the U.S. Coast Guard within DHS) have a key role in maritime security, and the Federal Bureau of Investigation Washington Field Office is responsible for counter-terrorism. Despite the significant Federal presence throughout the Region, State and local governments are primarily responsible for Regional preparedness activities, including strategic planning, implementation, and execution.

Government-sector stakeholders at the Federal, State, and local levels carry out their roles and responsibilities through multiple NCR homeland security governance groups and committees, described in Section 4.1.2 below.

Private Sector

Private sector stakeholders comprise a diverse mix of organizations, such as service sector enterprises, utility companies, and medical institutions. Many corporations of national and international significance also have headquarters or major operations in the NCR. Together these private sector entities own a significant percent of the critical infrastructure within the NCR. Given their importance in the Region, representatives of these institutions have a critical advisory role in the strategic planning process. The NCR currently engages its private sector stakeholders through representation on three specific governance entities and mechanisms (described in detail in Section 4.1.2 below): the Regional Emergency Preparedness Council (EPC), Regional Emergency Support Function Committees (R-ESF Committees), and Regional Program Working Groups (RPWG).

Private sector stakeholders, often directly or through sponsoring organizations such as the Board of Trade, Chamber of Commerce, Washington DC Convention and Tourism Corporation, and other consortia, engage in projects to provide subject matter expertise in building Regional capabilities across the spectrum of preparedness activities. For example, private entities play a key role in the protection and recovery of key assets during both manmade and natural disasters, and are part of critical infrastructure planning efforts. The NCR continues to seek additional ways to increase the participation of private sector stakeholders through other mechanisms, such as roundtables and public-private partnership activities.

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government, State, local, and Regional authorities and private sector entities in the NCR to facilitate access to Federal grants and other programs. The NCRC is also responsible for developing a process to ensure meaningful input from State, local, and Regional authorities and the private sector is included in the homeland security planning and activities of the Federal government, and for ensuring that Federal entities play appropriate roles in the NCR's preparedness activities.

[15] The JFC provides a forum for policy discussions and resolutions of security-related issues of mutual concern to Federal, State, and local jurisdictions within the NCR before, during, and after a Regional incident or emergency. It serves as a vehicle for coordination, information sharing, and general connectivity of all NCR agencies within the DHS and serves as the point of contact for Federal departments and agencies in Regional planning, communications, and emergency management protocols.

Civic Sector

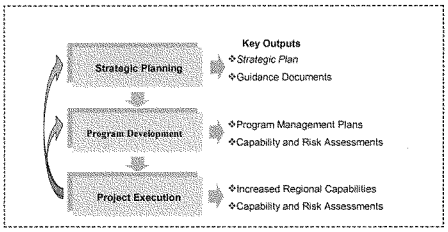
The civic sector encompasses those non-governmental organization entities, primarily non-profit organizations, which represent the needs and interests of the Region's 4.5 million residents and millions of annual visitors. When disaster strikes, the civic sector, especially non-profit organizations, citizen corps, hospitals, and faith-based and community organizations, are critical responders. Our Region relies on the civic sector to rush to the aid of victims and their families in the aftermath of disaster. We also rely on non-profit organizations to provide ongoing support and services as the community recovers from a catastrophic event. The civic sector plays critical roles in mass care, housing, and human services; emergency medical services; donations and volunteer management; long-term community recovery and mitigation; animal protection; and community outreach. For the NCR to respond effectively to a large-scale emergency, its civic sector must be fully prepared and integrated into local and Regional preparedness, response, and recovery plans.

The NCR is continually seeking to enhance its governance framework and strategic planning efforts to ensure meaningful input from community and non-profit groups is appropriately included in the Region's preparedness activities. NCR Partners' views are incorporated into the NCR strategic planning process via the NCR governance structure, which consists of a number of key groups and committees described in the following section.

4.1.2. NCR Organization, Roles, and Responsibilities

NCR Partners engage in multiple groups and committees working within and across three distinct levels: Strategic Planning, Program Development, and Project Execution. These three levels comprise the NCR governance framework, and each is designed to include critical perspectives from the NCR's government, private, and civic sector stakeholders. At the **Strategic level**, NCR Partners review assessments of Regional capabilities and develop a long-term homeland security strategy for enhancing prioritized capabilities. Additional overarching guidance, such as budget and policy documents, is also issued at this level to facilitate activities at the levels below. At the **Program level**, the NCR Partners identify, define, and manage programs for meeting Regional needs delineated in the *Strategic Plan*. Programs may consist of one or more Objectives and/or Initiatives, depending on their area of focus. Program requirements are then translated into individual projects at the **Project level**, which result in increased Regional capabilities to prepare for, prevent, protect against, respond to, and recover from all-hazards threats. The NCR Homeland Security Governance Framework is not intended to capture or reflect the chain of command at the operational (i.e., incident response and recovery) level. However, the framework is designed to improve the Region's operational capabilities, with the successful execution of projects contributing most directly to the Region's preparedness capabilities. Each of the three levels produces specific outputs, depicted in Figure 4.2 below, that inform the Region's governance decisions and activities.

Figure 4.2—NCR Homeland Security Governance Framework



The following section describes the activities at each of the three levels and the groups and committees involved. The entities described do not govern but help coordinate the Region's operational homeland security environment. Refinements to the NCR governance structure are currently being made in order to enhance the Region's ability to execute and coordinate effectively within and across each level. Some of the entities, mechanisms, and processes described in the following section are currently being established and are not yet fully functioning. In such cases, the descriptions focus on how these structures will function in the future.

Strategic Level

Regional priorities are formulated at the Strategic level through an iterative process of consensus-building among representatives from the key stakeholders of the NCR, represented by three key governance groups: the Senior Policy Group, representing State-level interests; the Chief Administrative Officers Committee, representing local government level interests; and the Regional Emergency Preparedness Council, representing broader NCR stakeholder interests. Additional stakeholders, such as Federal entities coordinated through the NCRC; the JFC; practitioners (i.e., fire and police chiefs); and business, non-profit, and community SMEs are included in the NCR strategy development process to provide the depth of subject matter expertise required for an effective preparedness strategy. These NCR Partners collaborate in a number of critical activities to develop the long-term homeland security strategy for the Region, including consensus-building plenary sessions and decision-making reviews of the Region's preparedness gaps and capabilities. Through these activities, NCR Partners provide general oversight, coordination, and guidance to the Region's homeland security efforts. The final outputs of activities at this level are the *Strategic Plan* and additional supporting documents, such as budget guidance, policy memoranda, and other types of documents that guide the implementation of the *Strategic Plan*.

The descriptions below provide an overview of the key governance groups and their roles and responsibilities within the Strategic level of NCR governance.

Regional Emergency Preparedness Council (EPC)

The Regional Emergency Preparedness Council is an advisory body established by the Metropolitan Washington Council of Government (MWCOG) Board of Directors and includes a broad array of representatives from each of the NCR's stakeholder categories. The EPC makes policy, procedural, and other recommendations to the MWCOG Board or through the MWCOG Board to various regional agencies with emergency preparedness responsibilities or operational response authority.

The EPC's primary responsibilities include—

- Overseeing and implementing the Regional Emergency Coordination Plan (RECP);
- Coordinating activities of the various R-ESF Committees (see Program Development section below) as they develop specific procedures and relationships; and
- Overseeing the development of annexes and establishing additional annexes as necessary.

The EPC can add groups, institutions, and individuals to the R-ESF Committees or expand its own membership with non-voting members. The EPC consists of elected officials; MWCOG committee chairs; and representatives of homeland security, emergency management services, and transportation; and non-profit and business communities. Its current membership includes—

- Nine elected officials representing the NCR jurisdictions, including at least two representatives each from the District of Columbia, the State of Maryland, and the Commonwealth of Virginia;
- Chairs of the MWCOG professional and technical committees of chief administrative officers, police chiefs, fire chiefs, public health officers, emergency management administrators, and other internal MWCOG committees involved in disaster preparation and response;
- Directors of emergency management for the District of Columbia, the State of Maryland, and the Commonwealth of Virginia;
- Representatives of the Departments of Transportation of the District of Columbia, the State of Maryland, and the Commonwealth of Virginia;
- Chairs or other designees of the Homeland Security Councils of the District of Columbia, the State of Maryland, and the Commonwealth of Virginia; and
- MWCOG's Executive Director and representatives of such institutions and agencies of the Federal government and organizations representing the private, quasi-public, and non-profit sectors, as the EPC and MWCOG Board Chairs may jointly designate and invite to participate, such as DHS, the Office of Personnel Management, FEMA, the General Services Administration, the Washington Metropolitan Area Transit Authority, the Greater Washington Board of Trade, and the Non-Profit Roundtable of Greater Washington.

NCR Homeland Security Senior Policy Group (SPG)

The Governors of Maryland and Virginia, the Mayor of the District of Columbia, and the Advisor to the President for Homeland Security established the SPG to provide continuing policy and executive-level focus to the Region's homeland security concerns. Membership consists of senior officials from Maryland, Virginia, District of Columbia, and DHS and the Director for the NCRC. The group exercises oversight of the implementation and funding process and determines priority actions for both increasing Regional preparedness and response capabilities and reducing vulnerability to terrorist attacks. The SPG's decision-making process is informed by the performance management activities at the Program Development and Project levels, which provide information on the Region's progress against the *Strategic Plan*, preparedness capabilities, and emerging and evolving risks and threats. The SPG is responsible for Goal and Objective leadership.

Chief Administrative Officers (CAO), Committee on Homeland Security

The Chief Administrative Officers are city and county-level administrators who serve on the CAO Committee on Homeland Security. They work in partnership with the SPG members on all strategic matters, operating more as a single unit. The CAO Committee, along with the SPG members, served as key architects of this *Strategic Plan*. The core elements of this *Strategic Plan* were drafted and approved by these two groups during numerous joint working sessions. The CAOs involve themselves

heavily in the investment decisions for homeland security grant funds and ensure that funding plans are executed as developed and approved by the SPG and CAO Committee on Homeland Security.

Program Level

The NCR's strategic Objectives and Initiatives form the foundation for activities at the Program level. Various types of working groups, created by the EPC, are responsible for the development of program areas addressing common Objectives and Initiatives that represent a Regional priority. Current working groups include the RPWGs and the R-ESF Committees (see descriptions below). Membership in these working groups depends heavily on their area of focus, and several of the R-ESF Committees are or have been chaired by members of the private sector. RPWGs, which are in various stages of development, are designed to include SMEs from the civic and private sectors as required.

R-ESF Committees and RPWGs are charged with development of the program areas, including creating comprehensive program management plans that define each program area and the processes, roles, and responsibilities required for managing the program. The program management plans define performance measures used to assess progress and identify high-level requirements of individual projects within the program, including estimation and prioritization of program funding requirements. The R-ESF Committees/RPWGs recommend lead entities for potential projects, although their recommendations must be accepted by the potential lead entity and ultimately approved by the SPG/CAO. The R-ESF Committees/RPWGs are responsible for assessing progress against the program plans and conducting gap analyses to revise and update the plans on a periodic basis. These groups determine whether completed projects have contributed to an increase in a Region-wide capability or reduction of a Regional threat, and report that progress to the NCR Partners. The NCR Homeland Security Grants and Program Management Office serves as the steward for all NCR program funding.

The descriptions below provide an overview of the key governance groups and their roles and responsibilities within the Program level of NCR governance.

NCR Homeland Security Senior Policy Group (SPG)

The SPG ensures full integration of NCR activities by providing final approval for programs within the NCR as well all projects within a program. The SPG oversees directors of the RPWG in guiding the execution of their work on approved homeland security Initiatives, programs, and projects. The SPG is ultimately accountable for the impact of the work at the Program level of the NCR.

Chief Administrative Officers (CAO), Committee on Homeland Security

The CAO members have an important role to play at the Program level. Local government staffs that participate as R-ESF Committee and RPWG members ultimately report to their respective CAOs on their performance. Like the SPG, CAOs exercise oversight in ensuring effective execution.

NCR Homeland Security Grants and Program Management Office/State Administrative Agent (SAA)

DHS requires that its grants be funneled through a single State Administrative Agent. The NCR Homeland Security Grants and Program Management Office, housed within the District of Columbia Government, was created to provide, by agreement with all participants, a comprehensive grant oversight at the Regional level. The SAA manages grant performance, provides staff support for various working groups, and supports and adapts as necessary the NCR processes to ensure both implementation and grant deadlines are met.

Regional Emergency Support Functions (R-ESF) and Committees

The NCR has identified 16 R-ESFs, which are supported by their respective R-ESF Committees. The R-ESF Committees assist the execution of the RECP and the Urban Area Security Initiatives (UASI) grants process. R-ESF Committees are the voice for practitioner and subject matter expert priorities and are staffed by local practitioners and SMEs who lend their expertise to explore issues related to particular R-ESFs. Representatives from the government, private, and civic sector work together toward building the next level of capabilities within each R-ESF. Current R-ESFs include—

- R-ESF #1 Transportation
- R-ESF #2 Communications Infrastructure
- R-ESF #3a Public Works and Engineering—Water
- R-ESF #3b Public Works and Engineering—Solid Waste
- R-ESF #4 Firefighting
- R-ESF #5 Emergency Management
- R-ESF #6 Mass Care, Housing, and Human Services
- R-ESF #7 Resource Support
- R-ESF #8 Public Health and Medical Services
- R-ESF #9 Urban Search and Rescue
- R-ESF #10 Oil and Hazardous Materials Response
- R-ESF #11 Agriculture and Natural Resources
- R-ESF #12 Energy
- R-ESF #13 Public Safety and Security
- R-ESF #14 Long-term Community Recovery and Mitigation
- R-ESF #15 External Affairs
- R-ESF #16 Donations and Volunteer Management

R-ESF Committees, like RPWGs, are responsible for developing and overseeing the execution of program management plans to guide the implementation of approved Initiatives. For more specific definitions of these responsibilities, refer to the RPWG description below.

Regional Program Working Groups (RPWG)

RPWGs are responsible for developing and overseeing the execution of program management plans that guide the implementation of approved Initiatives. RPWGs complement the R-ESF Committees and play similar roles. Membership consists of practitioners, policy-makers, and representatives from both the civic and private sectors. The groups serve to fill gaps, cross R-ESFs, and/or provide more focused attention on high-priority areas. For example, the CIP RPWG fills a gap not covered by any of the existing R-ESFs, while the Interoperability RPWG provides a focused effort that benefits several R-ESFs. Currently, there are six active RPWGs in various stages of functionality—

- Exercise and Training Operational Program (ETOP);
- Health Community Services;
- Interoperability;
- Critical Infrastructure Protection;
- Human Services; and
- Community Preparedness.

As part of their role in guiding implementation, the RPWGs are responsible for defining their respective program areas through development of a program management plan. This responsibility includes defining program goals, objectives, performance measures, and performance targets. One of the RPWGs' most important responsibilities is developing and maintaining a gap and vulnerability assessment to evaluate current Regional capabilities within the program area and help identify strengths, weaknesses, risks, and needs that define program requirements. To address the gaps and vulnerabilities identified through this assessment, RPWGs provide recommendations to the SPG for allocating and applying resources in the form of a multiyear Enhancement/Investment Plan for the Region.

Project Level
The most tactical level of NCR governance is the Project level. State and local SMEs, working with other SMEs from the private and civic sectors, are responsible for day-to-day execution and management of funded projects. The NCR Grants and Program Management Office and CAOs provide oversight to project activities. At this level, the Office works closely with the SPG and CAOs to monitor project execution and assess overall progress against the project plan, which is also reported to the RPWGs. Performance measures developed at this level focus on project performance against the project plan and assess a project's contribution to strategic priorities, including Regional preparedness capabilities or reductions in Regional threats.

4.2. Timeline, Sequence, and Execution

In developing the *Strategic Plan*, we determined a logical sequence of action and an approximate period of execution for each step. A number of factors determined timing of individual Initiatives, including current status, priority, and dependencies on and by other steps. Although the conclusions will be considerably refined as operational and other implementing plans are made, the timeline provides the Region with a basic schedule for execution of the *Strategic Plan*.

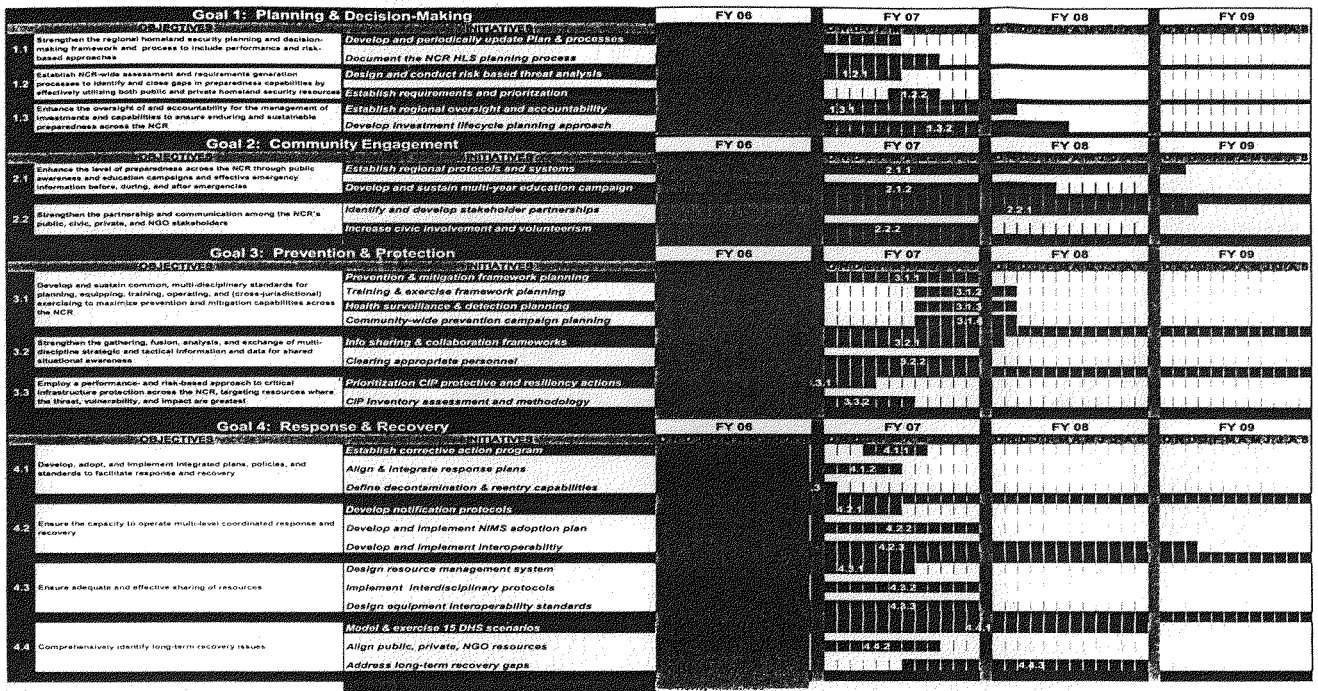
Table 4.1 below portrays the FY 2007–FY 2009 implementation timeline for the Initiatives, pending available resources. The Initiatives are grouped by Goal, with priority Initiatives highlighted in green. The timeline includes 17 Initiatives (FY 2006 grey highlights) started during or before FY 2006 that will be enhanced during the FY 2007–FY 2009 period. Many of the Initiatives in this *Strategic Plan* will assist in defining additional actions for the future. These actions, when defined, may be selected for strategic emphasis, scoped, scheduled, and assessed for resource commitments. The timeline and implementation plan do not address these possible future actions resulting from current Initiatives because some of these Initiatives are being further developed and refined. Having identified the necessary sequencing of activities, we will continue to assess, develop, and determine the level of resources needed to accomplish the individual Initiatives in a coordinated manner. Appendix A contains specific detail and considerations concerning timing (start and duration) of each Initiative, including interdependencies.

As the staffing and investment process continues, the Initiative framework provided by the *Strategic Plan* will be applied to individual Initiative execution plans. Additional planning documents for individual Initiatives will most likely include program, project investment, acquisition, procurement, business case, and overall performance planning activities.

We must conduct the following preliminary activities before they can "launch" an Initiative: (1) functional specifications; (2) technical specifications and detailed cost estimate; and (3) project plan development. These preliminary activities must be completed and the Initiatives must be launched by certain deadlines in order to meet the aggressive NCR capability development end dates. See Appendix C for a detailed description of the pre-launch activities and timing sequence for each of the Initiatives.

Table 4.1—Initiative Timeline

(green highlight indicates priority Initiative)



4.3. Performance Management and Reporting

Once an Initiative is implemented, we must use a process to determine whether the expected benefits are being achieved. This evaluation will involve collecting performance measure data, producing the actual measurements on a Region-wide basis, comparing the results with targets, determining performance shortfalls, analyzing trends and root causes, and deciding on actions to address each identified issue.

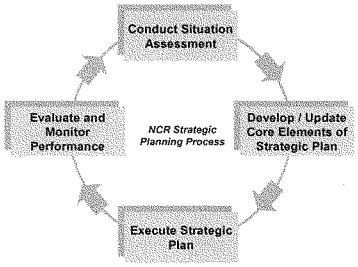
Performance plans describing detailed procedures for carrying out these steps for each Initiative will be developed as part of project execution planning that will be done to translate this *Strategic Plan* into action. The Initiative lead and associated working group will determine the means and frequency of data collection, means of reporting, and responsibility for analysis.

For all Initiatives, the EPC will convene a quarterly performance review. In these sessions, each Initiative lead will present the performance results of his/her Initiative. (While an Initiative is in the implementation stage, the session will serve as a project management aid, reviewing schedule and budget status versus milestones and exercising implementation management actions; when the Initiative is completed, its review will transition to an outcome-oriented performance discussion.) Initiative leads will present their results compared with the pre-defined targets; analysis of results, trends, and root causes; and recommended actions to maximize performance. The EPC will discuss this information, make decisions, and issue direction to improve project performance as necessary. If such EPC direction is issued, the next performance review should specifically consider the status of the previously directed action and the effect on performance. In other cases, conclusions regarding the effectiveness of the Initiative under review may lead to strategic decisions to be fed into the ongoing strategic planning process (see Section 4.4).

4.4. Sustainment of the *Strategic Plan*

The *Strategic Plan* is a living document designed to evolve with the needs of the Region. Steps to ensure the *Strategic Plan* remains relevant and responsive to the current environment are built into the four main steps of the NCR Strategic Planning Process, identified in Figure 4.3.

Figure 4.3—NCR Strategic Planning Process



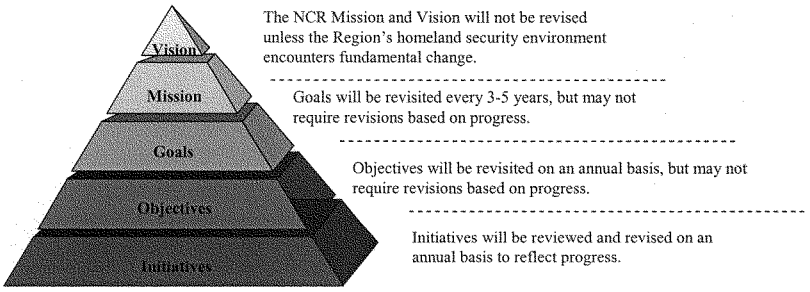
Sustaining the *Strategic Plan* requires continuous evaluation and monitoring of Regional performance. Implementation activities contained in the **Execute Strategic Plan** step are measured in the next step, **Evaluate and Monitor Performance**. Performance management activities are built into the Strategic, Program, and Project levels of the NCR Homeland Security Governance Framework (see Section 4.1.2). The Region's performance is assessed from several perspectives, including progress made against the

Strategic Plan, progress made against the Initiative, program, and project plans, the increase in the Region's preparedness capabilities, and reduction in risks and threats.

Performance information generated by these activities is applied in the next step of the strategic planning process, **Conduct Situation Assessment**. The primary goal of this step is to collect and analyze information on both the NCR's internal and external environments. In addition to considering performance and other aspects, this situation assessment scans external factors outside the direct control of the NCR, including evolving homeland security risks and threats and Federal policy changes.

The situation assessment enables us to accomplish the next step in the process: **Develop and/or Update the Core Elements of the Strategic Plan**. Certain elements of the *Strategic Plan*, such as the Initiatives, will likely need to be updated on an annual basis in response to changes to the Region's internal and external environments. In particular, the *Strategic Plan* should be updated annually with implementation progress and the results communicated to NCR stakeholders. Major revisions to the other elements of the *Strategic Plan*, such as the NCR's long-term Goals, should only be conducted every three years to ensure ample time is available to execute against the *Strategic Plan* and reduce the burden on the NCR Partners. Although annual adjustments will be primarily driven by the SPG and other selected Partners, major revisions occurring every three years must include a broader set of stakeholders that engages in a comprehensive consensus-building process. Figure 4.4 below depicts the core elements of the *Strategic Plan* and provides estimates of when the core elements should be revisited and revised.

Figure 4.4—Adjustments to the *Strategic Plan*



4.5. Investment, Funding, and Budgeting Cycles

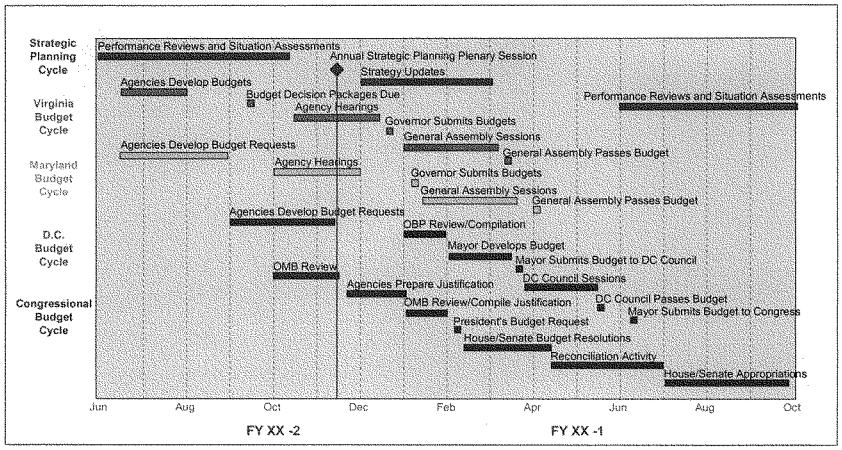
We tailored the *Strategic Plan* to complement local operating budget decision-making because the bulk of preparedness capability and operational enhancement decisions rests with local practitioners. Funding for project implementation starts with State and local commitments of resources. Local and State budgets provide the vast majority of funds supporting Regional homeland security efforts. The Region also draws upon myriad federal grant programs, such as the family of DHS Homeland Security Grant Programs (including UASI and the State Homeland Security Grant Program [SHSGP]), public health related grants from the Centers for Disease Control and Prevention, and programs under the auspices of the Department of Justice.

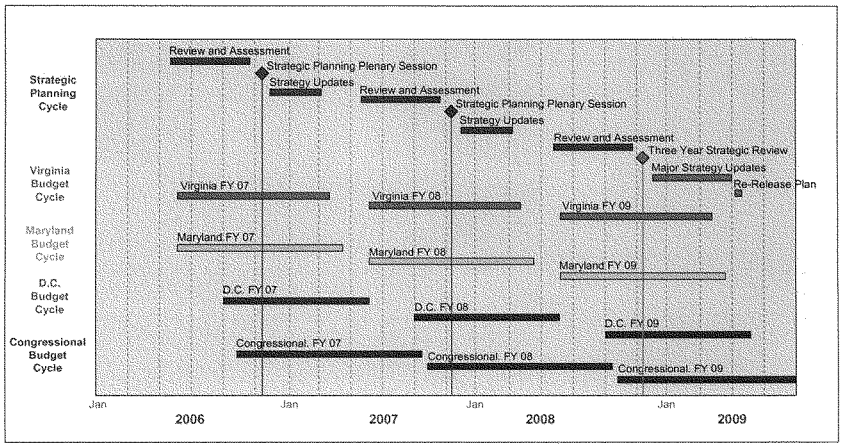
Although the *Strategic Plan* is not intended as an investment, allocation, or resource plan, it will prove useful in supporting implementation planning decisions for investment and resource allocations.

The *Strategic Plan* does not dictate how we should spend our homeland security funds. However, we are committed to leveraging the *Strategic Plan* when making planning activity and funding source decisions. By doing so, we will ensure capability enhancements across NCR jurisdictions are consistent with Regional Goals and priorities.

The annual review of the *Strategic Plan* is timed to correspond with the Federal, Maryland, Virginia, and District of Columbia budget cycles. This timing facilitates the acquisition of funding for Initiative projects. Figure 4.5 below provides a graphical depiction of the NCR homeland security strategic planning and budget cycles consistent with the four budget cycles on a one- and three-year timeline.

Figure 4.5—NCR Strategic Planning and Budget Cycles

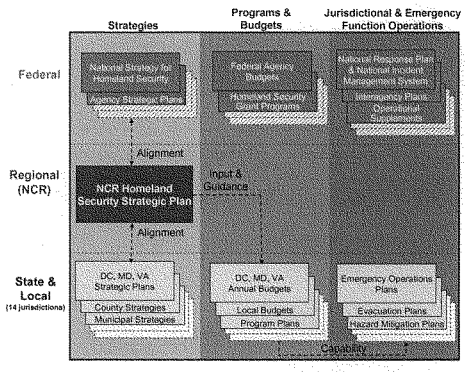




5. Alignment with Other Strategies and Planning Efforts

The *Strategic Plan* is but one part of a family of plans at the strategic, programmatic, budget, and operational levels existing within the NCR (see Figure 5.1). The *Strategic Plan* fills a critical need at the Regional level not only to align jurisdictional strategy planning efforts with national efforts, but also to provide a mechanism for Partner input and guidance into jurisdiction programmatic and budgetary planning processes.

Figure 5.1—NCR Family of Plans[16]



The *Strategic Plan* aligns Regional with Federal and State/local efforts through identification of common Goals, Objectives, and Initiatives to be implemented by the jurisdictions over the next three to five years. In addition, the *Strategic Plan* provides a framework by which State and local entities can plan, resource, and track priority homeland security related programs and budgets. As the *Strategic Plan* is implemented, the jurisdictions will be able to determine their level of contribution and commitment to the achievement of Goals and Initiatives. Although the *Strategic Plan* does not directly affect the jurisdictional and emergency function operational plans (e.g., local hazard mitigation plans, emergency response) or address operational level issues, the *Strategic Plan* does influence specific capabilities resourced by the jurisdictions that support operational plans.[17]

The following two sections explain how the *Strategic Plan* is aligned with ongoing State, local, and National-level efforts.

5.1. Alignment with State and Local Jurisdictional Efforts

5.1.1. State Plans' Alignment with the *Strategic Plan*

Virginia, Maryland, and the District of Columbia each develop and maintain strategic plans to guide their homeland security efforts across their respective jurisdictions. Unlike the District of Columbia's strategic plan, however, each State plan must cover not only those jurisdictions that comprise the NCR, but also the many other cities and counties within the State but outside the NCR.

Although the District of Columbia and State plans are not subordinate to the *Strategic Plan*, elements within these plans do support the overall Goals and Objectives imbedded in the *Strategic Plan*. Both the Maryland and Virginia plans discuss Regional collaboration in their strategies and single out the NCR as

[16] Project execution is primarily done at the State and local jurisdictional level.

[17] The NCR is not an operational entity. The *Strategic Plan* does not specifically address operational level issues nor does the NCR require operational plans at the Regional level. For details on how the Region operates at the tactical level as well as other specific response issues, see the appropriate existing jurisdictional operations plans. In addition, Regional coordination plans (e.g., the Regional Emergency Coordination Plan and the Regional Communication Plan) provide further elaboration on regional coordination mechanisms and processes.

one of those key regions requiring extensive collaboration to effectively manage catastrophic events. The District of Columbia plan also cites collaboration as a central theme in developing an effective, unified approach to preparedness.

One area of extensive collaboration is in Mutual Aid Agreements and Compacts. The jurisdictions have a history of strong interjurisdictional agreements and memoranda of understanding that enable Regional cooperation and coordination within many of the ESF areas. This network of agreements is one reason why the Region is effective in emergency response and incident management at the local level. This extensive network of existing relationships and agreements will facilitate greater collaboration at the strategic level as the *Strategic Plan* is implemented.

The priorities for preparedness in the homeland security plans for Virginia, Maryland, and the District of Columbia reflect unique assessments of the threats and vulnerabilities across each jurisdiction (see Table 5.1). Compared with Virginia and Maryland, the District of Columbia plan appropriately takes a more "terrorist-centric" perspective in developing its preparedness strategy. Virginia and Maryland have similar terrorist concerns for key population centers and locations with critical infrastructure (such as maritime facilities in Baltimore and Norfolk), but they also identify the need to prepare for other threats and situations. An evacuation out of the NCR, for example, will place significant burdens on reception centers throughout Virginia and Maryland that that the District of Columbia would not confront. Likewise, major agribusiness centers in Virginia and Maryland are vulnerable to a host of natural and manmade threats of much less concern to the District of Columbia.

Table 5.1—Jurisdictional Homeland Security Strategic Plan Priorities[18]

Washington, DC	Maryland	Virginia
• Prevent, eliminate, and/or reduce risks faced by the District • Protect the people, community, assets, and critical infrastructure in the District • Enhance the District's all-hazards planning, education, and response capabilities • Enhance the District's capabilities to restore and stabilize government operations and community life	• Intelligence and Warning, Domestic Counter-terrorism, and information sharing and Systems • Border and Transportation Security • Protect Critical Infrastructure and Key Assets • Defend Against Catastrophic Threats • Emergency Preparedness and Response • Law • Science and Technology • Funding Homeland Security	• Agribusiness • Citizens and Communities • First Responders • Government Operations and Funding • Health and Medical • Industry and Commerce • Technology • Transportation • Utilities

For these and other reasons, a statewide homeland security strategy will not provide the emphasis and unique focus required of a multistate area such as the NCR. Although the *Strategic Plan* does recognize the contributions of Virginia and Maryland, the Virginia and Maryland plans take a more balanced approach to committing resources across their entire States. State homeland security investments made in their jurisdictions comprising the NCR must take into account their own regional considerations. To facilitate State strategic plan alignment with the *Strategic Plan*, the homeland security governance structure of the NCR includes the Virginia and Maryland Homeland Security Directors as key participants in all policy-making and investment decisions. The *Strategic Plan* addresses the alignment of the jurisdictional plans in Initiative 4.1.2.

[18] Extracted from District of Columbia, Maryland, and Virginia homeland security strategies.

5.1.2. States' and the District of Columbia's Priorities Reflected in the *Strategic Plan*

In August 2002, the Mayor of the District of Columbia and the Governors of Virginia and Maryland signed the *Eight Commitments to Action*, a Joint Statement committing to a collaborative approach in addressing eight critical areas of homeland security within the NCR. As Table 5.2 shows, the areas that emphasize collaboration across the NCR jurisdictions align closely with the Goals set out in the *Strategic Plan,* and the eight critical areas are addressed by at least one of the Goals.

Table 5.2—The Eight Homeland Security Areas to be Addressed in Partnership Across the NCR[19]

Goals in the *Strategic Plan*	Goal One *Collaborative Planning & Decision-Making*	Goal Two *Informed, Engaged, and Prepared Community*	Goal Three *Enduring Capability to Protect and Prevent*	Goal Four *Sustained Capacity to Respond and Recover*
1. Decision-making	X			
2. Information Sharing		X	X	
3. Infrastructure Protection		X	X	
4. Public Health and Safety			X	X
5. Mutual Aid Agreements	X		X	X
6. Joint "Virtual" Information Center			X	X
7. Citizen Corps Programs		X		
8. Coordinated Training and Exercises			X	X

5.1.3. Improvement Areas Identified in the EMAP Assessment for the NCR

The Emergency Management Accreditation Program (EMAP) is a voluntary assessment and accreditation process for State and local emergency management programs intended to mitigate, prepare for, respond to, and recover from disasters and emergencies. Accreditation is based on compliance with 58 national standards (the EMAP Standard) by which programs that apply for EMAP accreditation are evaluated.

In early 2006, the NCR elected to sponsor an assessment to gather additional data on areas covered by the EMAP Assessment.[20] This assessment helped us sharpen our focus, set priorities, and provide a rationale for additional investments in key capabilities. The *Strategic Plan* was shaped in part by the findings in this important, Region-specific assessment.

The EMAP assessment identified significant gaps between the EMAP national standards and the NCR's capability.[21] The *EMAP NCR Report* cited some noteworthy areas for improvement, including—

- Need for more robust hazard identification and risk assessments;

[19] Source: National Capital Region Summit on Homeland Security, Joint Statement, August 5, 2002. Signed by the Governors of Virginia and Maryland and the Mayor of the District of Columbia.

[20] *Emergency Management Accreditation Program NCR Regional Assessment Report*, April 2006.

[21] It is important to note that the EMAP process is designed for an operational jurisdiction; therefore, some of the gaps identified in this process were not relevant to the NCR as a Region.

- Limitations in current plans and procedures for mitigation, Continuity of Operations (COOP), and recovery; and
- Inconsistency among ICS operations within the NCR.

The *Strategic Plan's* Objectives address the areas for improvement identified in the *EMAP NCR Report*. Table 5.3 illustrates the correlation between the Objectives and the EMAP recommendations.

Not only does the *Strategic Plan* address the EMAP recommendations, but the *Strategic Plan's* Initiatives also address 54 of the 58 EMAP national standards. See Appendix F for a description of the alignment of the Initiatives and the EMAP national standards.

Table 5.3—Strategic Objectives Mapped Against Key EMAP Assessment Shortfalls[22]

Standard Number	EMAP Key Findings Gaps and Shortfalls	Goal 1			Goal 2		Goal 3			Goal 4			
		1.1	1.2	1.3	2.1	2.2	3.1	3.2	3.3	4.1	4.2	4.3	4.4
4.1	Program Administration	X	X										
4.4	Program Evaluation									X			X
5.3.1	Hazard Identification	X	X										
5.3.3	Impact Analysis	X	X										
5.4	Hazard Mitigation		X	X					X				
5.5.1	Resource Management Objectives										X	X	
5.5.2	Resource Management Objectives Coverage										X	X	
5.7.2.1	Program Plans									X			
5.7.2.3	Mitigation Plan: Interim and Long-term Actions						X						
5.7.2.4	Recovery Plan											X	X
5.7.2.5	Continuity Plan									X	X		
5.7.3.1	External Functional Roles and Responsibilities									X			X
5.8.3	Incident Command System									X			
5.8.4	Response, Continuity, and Recovery Procedures and Policies										X		
5.9.3	Emergency Communications & Warning Protocols, Processes, and Procedures							X			X		
5.10.2	Public Safety, Health, and Welfare; Protection of Property and Environment	X								X			
5.10.3	Procedures for Response to and Recovery from Hazards											X	X
5.10.4	Response and Recovery Situation Analysis									X			
5.10.5	Recovery and Mitigation Activities Initiation											X	
5.10.6	Management/Government Succession Procedures									X			
5.11.1	Logistical Capability and Procedures												X
5.11.2	Primary and Alternate Facility for Continuity, Response, and Recovery Operations									X			
5.12.1	Training Needs Assessment and Training/Educational Curriculum						X						
5.12.2	Training Objectives						X						
5.12.3	Training Frequency and Scope						X						
5.12.4	Personnel ICS Training						X						
5.12.5	Training Records						X						
5.13.1	Program Plans, Procedures, and Capabilities Assessment									X			
5.13.2	Exercises						X						
5.13.3	Corrective Action Procedures									X			
5.14.1	Predisaster, Disaster, and Post-Disaster Information Dissemination/Response					X		X					

[22] Figure 5.3 only maps those EMAP Assessment Standards for which the NCR is in low compliance. For a complete list of gaps and shortfalls, see Appendix F.

5.1.4. Operational Planning and Incident Management

Local and State jurisdictions are responsible for operational planning and incident management within the NCR.[23] Responsible authorities within these jurisdictions manage operations and incidents in accordance with the *National Incident Management System (NIMS)* and the *National Response Plan (NRP)*.[24] The NCR Partners and our respective jurisdictions are fully committed to the principles, organizations, doctrine, and procedures of the ICS[25] and Unified Command contained in NIMS. Incident Command authority during incidents is determined by the geographical location of the incident(s), based on existing plans.

Most incidents within the Region are handled locally at the lowest jurisdictional level. Most responses do not require support from other entities outside the NCR. In these cases, responsibility for incident response lies solely within the jurisdictional authority of the affected geographical location, although in many cases, longstanding mutual aid agreements may be implemented. The local jurisdiction will designate an Incident Commander who takes responsibility for all incident activities.

In other situations, incidents may require a coordinated response and could involve more than a single response discipline and/or multiple jurisdictions. Here, the Region relies on the principle of Unified Command for coordinated and collaborative incident management. Jurisdictions (and/or emergency responders within a single jurisdiction) work together through their designated representatives to determine objectives, strategies, plans, and priorities for the incident. These designated representatives develop a single Incident Action Plan that governs the response to the incident and work together to execute integrated incident operations. When local jurisdictions are overwhelmed during an incident, the State will provide resources. When a State is overwhelmed, the State requests assistance from the Federal government. In large-scale responses, a Joint Field Office may be established to support the Unified Command.

The NCR is not an operational entity. The "who's in charge" question for an incident is answered in accordance with the ICS, which details responsibilities based on where the incident occurs (e.g., jurisdictional authority), the type of incident (e.g., natural or terrorist), and the stage of incident response (e.g., immediate first responders).

Jurisdictions within the NCR have myriad well-coordinated and exercised plans addressing multijurisdictional incidents, including decisions regarding incident command authority. In accordance with ICS, these jurisdictional plans answer questions such as "who's in charge" at an incident site and detail overall coordination and operational planning issues. For example, during the September 11, 2001, response to the attack on the Pentagon, the Chief of the Arlington Fire Department was deemed the Incident Commander and the NCR Partners provided operational and resource support. In instances where there is no clear line of authority, jurisdictions work together through the designated members of the Unified Command to determine which agency will serve as the overall Incident Commander and how other agencies will support the ICS.

In cases of a declared Incident of National Significance, a National Security Special Event (NSSE), or other events requiring a coordinated Federal response within the NCR, the Secretary of Homeland Security may designate a Principal Federal Official (PFO) to act as his/her representative locally to

[23] The *Strategic Plan* does not alter or impede the ability of first responders to carry out their specific authorities or the jurisdictional authorities for local incident command and response.

[24] See the *National Incident Management System* (March 1, 2004) and the *National Response Plan* (December 2004), in conjunction with the *Notice of Change to the National Response Plan* (May 25, 2006). We are committed to achieving full compliance with all NIMS standards and other Federal guidelines regarding emergency response.

[25] The ICS is a management system designed to enable effective domestic incident management by integrating a combination of facilities, equipment, personnel, procedures, and communications while operating within a common organizational structure.

oversee, coordinate, and execute the Secretary's incident management responsibilities.[26] The PFO facilitates Federal support to the established ICS Unified Command Structure and coordinates overall Federal incident management and assistance activities. NSSEs such as Presidential Inaugurations and State of Union Addresses are fairly common in the NCR, and the likelihood of an event requiring Federal support within the NCR is high. Operational coordination among local, State, and Federal authorities is exercised regularly and with good effect. The NCR regularly executes NSSEs and is prepared to respond to a large-scale event requiring multijurisdictional coordination.

5.2. Alignment with National Efforts

The Goals, Objectives, and Initiatives in the *Strategic Plan* are integrated with the national priorities expressed by DHS and other Federal agencies. Specifically, the *Strategic Plan* aligns closely with the *National Strategy*; Homeland Security Presidential Directive 8 (HSPD-8) programs, including the *Interim National Preparedness Goal* and the *Target Capabilities List (TCL)*; and the *Nationwide Plan Review*.

The *National Strategy* describes six "critical mission areas" that are the ultimate focus for the Nation's—and, by extension, the Region's—homeland security efforts. The Goals, Objectives, and Initiatives address each of these mission areas but are specifically tailored to the unique risks and challenges faced by the NCR. Compared with the six national mission areas, this *Strategic Plan* places an increased emphasis on coordinating Regional planning efforts and ensuring citizens are informed of and engaged in homeland security efforts.

In December 2003, the President issued HSPD-8, which mandated the establishment of a "national domestic all-hazards preparedness goal." In response to HSPD-8, DHS developed the *Interim National Preparedness Goal*, which was released in March 2005. The *Interim National Preparedness Goal* includes seven priorities for national preparedness:

1. Implement the National Incident Management System and National Response Plan;
2. Expand regional collaboration;
3. Implement the Interim National Infrastructure Protection Plan;
4. Strengthen information sharing and collaboration capabilities;
5. Strengthen interoperable communications capabilities;
6. Strengthen chemical, biological, radiation, nuclear, and explosive weapons (CBRNE); detection, response, and decontamination capabilities; and
7. Strengthen medical surge and mass prophylaxis capabilities.

The *Strategic Plan* addresses each of these priorities in multiple Initiatives but tailors the Initiatives to the NCR's unique homeland security requirements. For example, because of the jurisdictional challenges inherent in the Region, the Initiatives focus heavily on the priorities addressing "regional collaboration" and "information sharing and collaboration capabilities." Implementation of the National Incident Management System is specifically addressed in Initiative 4.2.2 (see Appendix A for details).

The *Interim National Preparedness Goal* uses a Capabilities-Based Planning approach to nationwide preparedness. The *Preparedness Goal* established the *Target Capabilities List*, a list of 37 capabilities that Federal, state, local, and tribal entities must achieve to perform critical tasks for homeland security missions. These 37 capabilities served as a target as we developed the Initiatives.

[26] See Homeland Security Presidential Directive 5 (HSPD-5) for federal responsibilities during an INS or a NSSE event.

The 37 Target Capabilities, along with the EMAP standards described in Section 5.1.3, serve as a baseline set of standards and capabilities toward which the Region should strive. Each of the Initiatives has been matched to one or more of the target capabilities (see Appendix A.2), ensuring that the *Strategic Plan* has a solid grounding in national standards.

As part of the strategic planning process, we drew up a list of current gaps in the NCR's homeland security efforts. The list of Regional gaps in homeland security planning frames and provides context for addressing the 37 Target Capabilities in the NCR. Each of the identified Regional gaps is addressed by at least one of the *TCL* Mission Areas—*common capabilities*, *Prevent*, *Protect*, *Recover*, and *Respond* (see Table 5.4)—and all 37 specific target capabilities can be linked directly or indirectly to the Regional gaps. Implementing the strategic Initiatives and closing the identified gaps in Regional homeland security will substantially reduce risk to the Region and move us much closer to developing capabilities mandated by DHS.

Table 5.4—Regional Gaps and *Target Capabilities List* Mission Areas

Regional Gaps and Target Capabilities List Mission Areas					
		Goal Three		Goal Four	
Regional Gaps	**Common**	**Prevent**	**Protect**	**Respond**	**Recover**
Standardized alert notification procedures		X			
Regional mitigation plan		X	X		
Region-wide strategic communications plan	X	X	X	X	X
Public information during all phases of emergencies	X			X	
Inclusion of private sector information in planning	X				
Public/private coordination	X	X	X		X
Analysis of threats, vulnerabilities and consequences	X	X	X		
Resource management and prioritization	X	X	X	X	X
Understanding of long-term recovery issues					X
Special needs considerations for response and recovery				X	X
Mass care			X	X	
Infrastructure		X	X		X

In June 2006, DHS released the *Nationwide Plan Review Phase Two Report*, which provided an assessment of the status of catastrophic planning for States and 75 of the Nation's largest urban areas. The review gave the NCR generally "partially sufficient" ratings on its plans—we can meet some, but not all, of the requirements for catastrophic incident response planning and capabilities. Although the mass care and health and medical annexes were assessed as insufficient, the basic plans and other annexes (direction and control, communications, warning, emergency public information, evacuation, and resource management) received positive or partially sufficient marks. Nevertheless, the review assessed the NCR's current plan as insufficient overall to meet the requirements of a catastrophic incident. DHS' conclusions were based primarily on shortfalls in Regional integration, coordination, and contingency planning needed to address a major jurisdictional failure.

This *Strategic Plan* addresses *the Nationwide Plan Review's* conclusions by recognizing the need for greater synchronization and by outlining Initiatives that create or reinforce regionally coordinated plans for both policy and operations. The *Nationwide Plan Review* included 15 "initial conclusions" that outline areas in which States and Urban Areas are lacking or could improve their catastrophic incident

response planning.[27] The *Strategic Plan* addresses each of these 15 conclusions with at least one Objective, as outlined in Table 5.5 below.

In addition to bringing the Region into alignment with Federal-level homeland security strategies and plans, the *Strategic Plan* works in concert with DHS' risk-based grant program. Starting in fiscal year 2006, DHS moved to a competitive risk-based process for distributing homeland security grant funding. The process was designed to ensure that Federal homeland security grants would be distributed to those areas—like the NCR—that face the highest level of risk and to those areas likely to use the funds most effectively in implementing National, State, and Regional plans.

The *Strategic Plan* served as a guiding document in the development of the *2006 District of Columbia and National Capital Region Program and Capability Enhancement Plan*. The *Enhancement Plan*, which is the foundation for the Region's submission for DHS grant funding, lays out the resources required for building and sustaining capabilities to reduce the Region's vulnerability to all-hazards risks and threats.

The *Enhancement Plan* was based jointly on the *Strategic Plan*, the *TCL*, and a series of Capability Review sessions. During the Capability Review Sessions, representatives from across the Region reviewed a series of priority capabilities (eight mandated by DHS and six based on the draft *Strategic Plan*); discussed the Region's current ability to meet the *TCL*'s desired outcome; and identified resources necessary to meet or maintain the capabilities. In this way, the *Strategic Plan* works together with Federal mandates to drive the Region's participation in DHS grant programs.

In future years, the *Strategic Plan* will play a similar role by guiding the Region's selection of priority capabilities to be improved, along with any federally mandated capabilities in each subsequent grant cycle. The *Strategic Plan* has also been designed to be flexible enough (see Section 4.5) to adapt to changing national priorities and shifting Federal mandates, while keeping its focus on reducing the Region's overall risk.

By focusing on Regional collaboration and the implementation of local priorities in support of State and Federal plans, the *Strategic Plan* will help ensure the Region receives funding commensurate with its risk and importance and spends grant money in an effective and efficient way. In addition to grants from DHS' Homeland Security Grant Program, the *Strategic Plan* also guides selection of priorities for other Federal grant programs, including those from the Department of Health and Human Services, the Department of Justice, and others.

[27] Like the EMAP process, the *Nationwide Plan Review* was designed for operational areas; therefore, not all of the *Review's* conclusions for the NCR were relevant given the NCR's non-operational status.

Table 5.5—Nationwide Plan Review Conclusions

Nationwide Plan Review Key Findings States and Urban Areas	Goal 1			Goal 2		Goal 3			Goal 4			
	1.1	1.2	1.3	2.1	2.2	3.1	3.2	3.3	4.1	4.2	4.3	4.4
1. The majority of the Nation's current emergency operations plans and planning processes cannot be characterized as fully adequate, feasible, or acceptable to manage catastrophic events as defined in the National Response Plan (NRP).	X								X	X		
2. States and urban areas are not conducting adequate collaborative planning as a part of "steady state" preparedness.	X								X			
3. Assumptions in Basic Plans do not adequately address catastrophic events.		X						X				
4. Basic Plans do not adequately address continuity of operations and continuity of government.									X			
5. The most common deficiency among State and urban area Direction and Control Annexes is the absence of a clearly defined command structure.									X	X	X	
6. Many States and urban areas need to improve systems and procedures for communications among all operational components.							X			X	X	
7. All Functional Annexes did not adequately address special needs populations.					X							
8. States should designate a specific State agency that is responsible for providing oversight and ensuring accountability for including people with disabilities in the shelter operations process.	X	X	X		X							
9. Timely warnings requiring emergency actions are not adequately disseminated to custodial institutions, appropriate government officials, and the public.							X			X		
10. The ability to give the public accurate, timely, and useful information and instructions through the emergency period should be strengthened.				X								
11. Significant weaknesses in evacuation planning are an area of profound concern.						X				X	X	
12. Capabilities to manage reception and care for large numbers of evacuees are inadequate.	X								X			
13. Capabilities to track patients under emergency or disaster conditions and license of out-of-State medical personnel are limited.	X								X			
14. Resource management is the "Achilles heel" of emergency planning. Resource Management Annexes do not adequately describe in detail the means, organization, and process by which States and urban areas will find, obtain, allocate, track, and distribute											X	
15. Plans should clearly define resource requirements, conduct resource inventories, match available resources to requirements, and identify and resolve shortfalls.									X		X	

6. Conclusion and Summary

The NCR Partners are committed to **"Working together towards a safe and secure National Capital Region"** and implementing the steps detailed in the *Strategic Plan*. We will continue to manage homeland security risks across the NCR through an integrated approach that is based on cooperative implementation of the *Strategic Plan*'s four Goals, 12 Objectives, and 30 Initiatives over the next three to five years.

The NCR is prepared to respond quickly and effectively with well-trained and equipped teams when disasters occur and to continue to address gaps in all dimensions of all-hazards preparedness within the NCR. While not an operational plan, the *Strategic Plan* will provide numerous benefits that will enhance the overall preparedness of the Region, such as: more efficient allocation of resources throughout the Region; increased communication, interaction, and coordination among stakeholders; and transparency in funding priorities. With a single coordinated and integrated strategic plan properly aligned with other national and State/local efforts, the NCR is able to effectively and consistently focus limited emergency management resources throughout the Region on the most critical needs and maintain a forward looking position on Regional preparedness.

Throughout the strategic planning process, we emphasized Regional coordination and gained unparalleled commitment from government officials at every level. We built the *Strategic Plan* on a foundation of shared leadership and responsibility to secure the Region. We intend to limit the impact of disasters before they occur, implement and continually improve our ability to manage risk, and enhance enduring and sustainable all-hazards capabilities. We are committed to use this high-level road map as a starting point for more detailed planning efforts to achieve the Goals and Objectives described in this document. The *Strategic Plan* serves as the foundation for our future efforts and provides guidance and priorities for the work ahead.

5.1.2. States' and the District of Columbia's Priorities Reflected in the *Strategic Plan*

In August 2002, the Mayor of the District of Columbia and the Governors of Virginia and Maryland signed the *Eight Commitments to Action*, a Joint Statement committing to a collaborative approach in addressing eight critical areas of homeland security within the NCR. As Table 5.2 shows, the areas that emphasize collaboration across the NCR jurisdictions align closely with the Goals set out in the *Strategic Plan,* and the eight critical areas are addressed by at least one of the Goals.

Table 5.2—The Eight Homeland Security Areas to be Addressed in Partnership Across the NCR[19]

Goals in the *Strategic Plan*	Goal One *Collaborative Planning & Decision-Making*	Goal Two *Informed, Engaged, and Prepared Community*	Goal Three *Enduring Capability to Protect and Prevent*	Goal Four *Sustained Capacity to Respond and Recover*
1. Decision-making	X			
2. Information Sharing		X	X	
3. Infrastructure Protection		X	X	
4. Public Health and Safety			X	X
5. Mutual Aid Agreements	X		X	X
6. Joint "Virtual" Information Center			X	X
7. Citizen Corps Programs		X		
8. Coordinated Training and Exercises			X	X

5.1.3. Improvement Areas Identified in the EMAP Assessment for the NCR

The Emergency Management Accreditation Program (EMAP) is a voluntary assessment and accreditation process for State and local emergency management programs intended to mitigate, prepare for, respond to, and recover from disasters and emergencies. Accreditation is based on compliance with 58 national standards (the EMAP Standard) by which programs that apply for EMAP accreditation are evaluated.

In early 2006, the NCR elected to sponsor an assessment to gather additional data on areas covered by the EMAP Assessment.[20] This assessment helped us sharpen our focus, set priorities, and provide a rationale for additional investments in key capabilities. The *Strategic Plan* was shaped in part by the findings in this important, Region-specific assessment.

The EMAP assessment identified significant gaps between the EMAP national standards and the NCR's capability.[21] The *EMAP NCR Report* cited some noteworthy areas for improvement, including—

- Need for more robust hazard identification and risk assessments;

[19] Source: National Capital Region Summit on Homeland Security, Joint Statement, August 5, 2002. Signed by the Governors of Virginia and Maryland and the Mayor of the District of Columbia.

[20] *Emergency Management Accreditation Program NCR Regional Assessment Report*, April 2006.

[21] It is important to note that the EMAP process is designed for an operational jurisdiction; therefore, some of the gaps identified in this process were not relevant to the NCR as a Region.

- Limitations in current plans and procedures for mitigation, Continuity of Operations (COOP), and recovery; and
- Inconsistency among ICS operations within the NCR.

The *Strategic Plan's* Objectives address the areas for improvement identified in the *EMAP NCR Report*. Table 5.3 illustrates the correlation between the Objectives and the EMAP recommendations.

Not only does the *Strategic Plan* address the EMAP recommendations, but the *Strategic Plan's* Initiatives also address 54 of the 58 EMAP national standards. See Appendix F for a description of the alignment of the Initiatives and the EMAP national standards.

Table 5.3—Strategic Objectives Mapped Against Key EMAP Assessment Shortfalls[22]

Standard Number	EMAP Key Findings Gaps and Shortfalls	Goal 1			Goal 2		Goal 3			Goal 4			
		1.1	1.2	1.3	2.1	2.2	3.1	3.2	3.3	4.1	4.2	4.3	4.4
4.1	Program Administration	X	X										
4.4	Program Evaluation									X			X
5.3.1	Hazard Identification	X	X										
5.3.3	Impact Analysis	X	X										
5.4	Hazard Mitigation		X	X					X				
5.5.1	Resource Management Objectives										X	X	
5.5.2	Resource Management Objectives Coverage										X	X	
5.7.2.1	Program Plans									X			
5.7.2.3	Mitigation Plan: Interim and Long-term Actions						X						
5.7.2.4	Recovery Plan											X	X
5.7.2.5	Continuity Plan									X	X		
5.7.3.1	External Functional Roles and Responsibilities									X			X
5.8.3	Incident Command System									X			
5.8.4	Response, Continuity, and Recovery Procedures and Policies										X		
5.9.3	Emergency Communications & Warning Protocols, Processes, and Procedures							X			X		
5.10.2	Public Safety, Health, and Welfare; Protection of Property and Environment	X								X			
5.10.3	Procedures for Response to and Recovery from Hazards											X	X
5.10.4	Response and Recovery Situation Analysis									X			
5.10.5	Recovery and Mitigation Activities Initiation											X	
5.10.6	Management/Government Succession Procedures									X			
5.11.1	Logistical Capability and Procedures												X
5.11.2	Primary and Alternate Facility for Continuity, Response, and Recovery Operations									X			
5.12.1	Training Needs Assessment and Training/Educational Curriculum						X						
5.12.2	Training Objectives						X						
5.12.3	Training Frequency and Scope						X						
5.12.4	Personnel ICS Training						X						
5.12.5	Training Records						X						
5.13.1	Program Plans, Procedures, and Capabilities Assessment									X			
5.13.2	Exercises						X						
5.13.3	Corrective Action Procedures									X			
5.14.1	Predisaster, Disaster, and Post-Disaster Information Dissemination/Response					X		X					

[22] Figure 5.3 only maps those EMAP Assessment Standards for which the NCR is in low compliance. For a complete list of gaps and shortfalls, see Appendix F.

5.1.4. Operational Planning and Incident Management

Local and State jurisdictions are responsible for operational planning and incident management within the NCR.[23] Responsible authorities within these jurisdictions manage operations and incidents in accordance with the *National Incident Management System (NIMS)* and the *National Response Plan (NRP)*.[24] The NCR Partners and our respective jurisdictions are fully committed to the principles, organizations, doctrine, and procedures of the ICS[25] and Unified Command contained in NIMS. Incident Command authority during incidents is determined by the geographical location of the incident(s), based on existing plans.

Most incidents within the Region are handled locally at the lowest jurisdictional level. Most responses do not require support from other entities outside the NCR. In these cases, responsibility for incident response lies solely within the jurisdictional authority of the affected geographical location, although in many cases, longstanding mutual aid agreements may be implemented. The local jurisdiction will designate an Incident Commander who takes responsibility for all incident activities.

In other situations, incidents may require a coordinated response and could involve more than a single response discipline and/or multiple jurisdictions. Here, the Region relies on the principle of Unified Command for coordinated and collaborative incident management. Jurisdictions (and/or emergency responders within a single jurisdiction) work together through their designated representatives to determine objectives, strategies, plans, and priorities for the incident. These designated representatives develop a single Incident Action Plan that governs the response to the incident and work together to execute integrated incident operations. When local jurisdictions are overwhelmed during an incident, the State will provide resources. When a State is overwhelmed, the State requests assistance from the Federal government. In large-scale responses, a Joint Field Office may be established to support the Unified Command.

The NCR is not an operational entity. The "who's in charge" question for an incident is answered in accordance with the ICS, which details responsibilities based on where the incident occurs (e.g., jurisdictional authority), the type of incident (e.g., natural or terrorist), and the stage of incident response (e.g., immediate first responders).

Jurisdictions within the NCR have myriad well-coordinated and exercised plans addressing multijurisdictional incidents, including decisions regarding incident command authority. In accordance with ICS, these jurisdictional plans answer questions such as "who's in charge" at an incident site and detail overall coordination and operational planning issues. For example, during the September 11, 2001, response to the attack on the Pentagon, the Chief of the Arlington Fire Department was deemed the Incident Commander and the NCR Partners provided operational and resource support. In instances where there is no clear line of authority, jurisdictions work together through the designated members of the Unified Command to determine which agency will serve as the overall Incident Commander and how other agencies will support the ICS.

In cases of a declared Incident of National Significance, a National Security Special Event (NSSE), or other events requiring a coordinated Federal response within the NCR, the Secretary of Homeland Security may designate a Principal Federal Official (PFO) to act as his/her representative locally to

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[23] The *Strategic Plan* does not alter or impede the ability of first responders to carry out their specific authorities or the jurisdictional authorities for local incident command and response.

[24] See the *National Incident Management System* (March 1, 2004) and the *National Response Plan* (December 2004), in conjunction with the *Notice of Change to the National Response Plan* (May 25, 2006). We are committed to achieving full compliance with all NIMS standards and other Federal guidelines regarding emergency response.

[25] The ICS is a management system designed to enable effective domestic incident management by integrating a combination of facilities, equipment, personnel, procedures, and communications while operating within a common organizational structure.

oversee, coordinate, and execute the Secretary's incident management responsibilities.[26] The PFO facilitates Federal support to the established ICS Unified Command Structure and coordinates overall Federal incident management and assistance activities. NSSEs such as Presidential Inaugurations and State of Union Addresses are fairly common in the NCR, and the likelihood of an event requiring Federal support within the NCR is high. Operational coordination among local, State, and Federal authorities is exercised regularly and with good effect. The NCR regularly executes NSSEs and is prepared to respond to a large-scale event requiring multijurisdictional coordination.

5.2. Alignment with National Efforts

The Goals, Objectives, and Initiatives in the *Strategic Plan* are integrated with the national priorities expressed by DHS and other Federal agencies. Specifically, the *Strategic Plan* aligns closely with the *National Strategy*; Homeland Security Presidential Directive 8 (HSPD-8) programs, including the *Interim National Preparedness Goal* and the *Target Capabilities List (TCL)*; and the *Nationwide Plan Review*.

The *National Strategy* describes six "critical mission areas" that are the ultimate focus for the Nation's—and, by extension, the Region's—homeland security efforts. The Goals, Objectives, and Initiatives address each of these mission areas but are specifically tailored to the unique risks and challenges faced by the NCR. Compared with the six national mission areas, this *Strategic Plan* places an increased emphasis on coordinating Regional planning efforts and ensuring citizens are informed of and engaged in homeland security efforts.

In December 2003, the President issued HSPD-8, which mandated the establishment of a "national domestic all-hazards preparedness goal." In response to HSPD-8, DHS developed the *Interim National Preparedness Goal*, which was released in March 2005. The *Interim National Preparedness Goal* includes seven priorities for national preparedness:

1. Implement the National Incident Management System and National Response Plan;
2. Expand regional collaboration;
3. Implement the Interim National Infrastructure Protection Plan;
4. Strengthen information sharing and collaboration capabilities;
5. Strengthen interoperable communications capabilities;
6. Strengthen chemical, biological, radiation, nuclear, and explosive weapons (CBRNE); detection, response, and decontamination capabilities; and
7. Strengthen medical surge and mass prophylaxis capabilities.

The *Strategic Plan* addresses each of these priorities in multiple Initiatives but tailors the Initiatives to the NCR's unique homeland security requirements. For example, because of the jurisdictional challenges inherent in the Region, the Initiatives focus heavily on the priorities addressing "regional collaboration" and "information sharing and collaboration capabilities." Implementation of the National Incident Management System is specifically addressed in Initiative 4.2.2 (see Appendix A for details).

The *Interim National Preparedness Goal* uses a Capabilities-Based Planning approach to nationwide preparedness. The *Preparedness Goal* established the *Target Capabilities List*, a list of 37 capabilities that Federal, state, local, and tribal entities must achieve to perform critical tasks for homeland security missions. These 37 capabilities served as a target as we developed the Initiatives.

[26] See Homeland Security Presidential Directive 5 (HSPD-5) for federal responsibilities during an INS or a NSSE event.

The 37 Target Capabilities, along with the EMAP standards described in Section 5.1.3, serve as a baseline set of standards and capabilities toward which the Region should strive. Each of the Initiatives has been matched to one or more of the target capabilities (see Appendix A.2), ensuring that the *Strategic Plan* has a solid grounding in national standards.

As part of the strategic planning process, we drew up a list of current gaps in the NCR's homeland security efforts. The list of Regional gaps in homeland security planning frames and provides context for addressing the 37 Target Capabilities in the NCR. Each of the identified Regional gaps is addressed by at least one of the *TCL* Mission Areas—*common capabilities*, *Prevent*, *Protect*, *Recover*, and *Respond* (see Table 5.4)—and all 37 specific target capabilities can be linked directly or indirectly to the Regional gaps. Implementing the strategic Initiatives and closing the identified gaps in Regional homeland security will substantially reduce risk to the Region and move us much closer to developing capabilities mandated by DHS.

Table 5.4—Regional Gaps and *Target Capabilities List* Mission Areas

Regional Gaps and Target Capabilities List Mission Areas					
		Goal Three		Goal Four	
Regional Gaps	**Common**	**Prevent**	**Protect**	**Respond**	**Recover**
Standardized alert notification procedures		X			
Regional mitigation plan		X	X		
Region-wide strategic communications plan	X	X	X	X	X
Public information during all phases of emergencies	X			X	
Inclusion of private sector information in planning	X				
Public/private coordination	X	X	X		X
Analysis of threats, vulnerabilities and consequences	X	X	X		
Resource management and prioritization	X	X	X	X	X
Understanding of long-term recovery issues					X
Special needs considerations for response and recovery				X	X
Mass care			X	X	
Infrastructure		X	X		X

In June 2006, DHS released the *Nationwide Plan Review Phase Two Report*, which provided an assessment of the status of catastrophic planning for States and 75 of the Nation's largest urban areas. The review gave the NCR generally "partially sufficient" ratings on its plans—we can meet some, but not all, of the requirements for catastrophic incident response planning and capabilities. Although the mass care and health and medical annexes were assessed as insufficient, the basic plans and other annexes (direction and control, communications, warning, emergency public information, evacuation, and resource management) received positive or partially sufficient marks. Nevertheless, the review assessed the NCR's current plan as insufficient overall to meet the requirements of a catastrophic incident. DHS' conclusions were based primarily on shortfalls in Regional integration, coordination, and contingency planning needed to address a major jurisdictional failure.

This *Strategic Plan* addresses *the Nationwide Plan Review's* conclusions by recognizing the need for greater synchronization and by outlining Initiatives that create or reinforce regionally coordinated plans for both policy and operations. The *Nationwide Plan Review* included 15 "initial conclusions" that outline areas in which States and Urban Areas are lacking or could improve their catastrophic incident

response planning.[27] The *Strategic Plan* addresses each of these 15 conclusions with at least one Objective, as outlined in Table 5.5 below.

In addition to bringing the Region into alignment with Federal-level homeland security strategies and plans, the *Strategic Plan* works in concert with DHS' risk-based grant program. Starting in fiscal year 2006, DHS moved to a competitive risk-based process for distributing homeland security grant funding. The process was designed to ensure that Federal homeland security grants would be distributed to those areas—like the NCR—that face the highest level of risk and to those areas likely to use the funds most effectively in implementing National, State, and Regional plans.

The *Strategic Plan* served as a guiding document in the development of the *2006 District of Columbia and National Capital Region Program and Capability Enhancement Plan*. The *Enhancement Plan*, which is the foundation for the Region's submission for DHS grant funding, lays out the resources required for building and sustaining capabilities to reduce the Region's vulnerability to all-hazards risks and threats.

The *Enhancement Plan* was based jointly on the *Strategic Plan*, the *TCL*, and a series of Capability Review sessions. During the Capability Review Sessions, representatives from across the Region reviewed a series of priority capabilities (eight mandated by DHS and six based on the draft *Strategic Plan*); discussed the Region's current ability to meet the *TCL*'s desired outcome; and identified resources necessary to meet or maintain the capabilities. In this way, the *Strategic Plan* works together with Federal mandates to drive the Region's participation in DHS grant programs.

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Nationwide Plan Review Key Findings States and Urban Areas	Goal 1			Goal 2		Goal 3			Goal 4			
	1.1	1.2	1.3	2.1	2.2	3.1	3.2	3.3	4.1	4.2	4.3	4.4
1. The majority of the Nation's current emergency operations plans and planning processes cannot be characterized as fully adequate, feasible, or acceptable to manage catastrophic events as defined in the National Response Plan (NRP).	X								X	X		
2. States and urban areas are not conducting adequate collaborative planning as a part of "steady state" preparedness.	X								X			
3. Assumptions in Basic Plans do not adequately address catastrophic events.		X						X				
4. Basic Plans do not adequately address continuity of operations and continuity of government.									X			
5. The most common deficiency among State and urban area Direction and Control Annexes is the absence of a clearly defined command structure.									X	X	X	
6. Many States and urban areas need to improve systems and procedures for communications among all operational components.							X			X	X	
7. All Functional Annexes did not adequately address special needs populations.					X							
8. States should designate a specific State agency that is responsible for providing oversight and ensuring accountability for including people with disabilities in the shelter operations process.	X	X	X		X							
9. Timely warnings requiring emergency actions are not adequately disseminated to custodial institutions, appropriate government officials, and the public.							X			X		
10. The ability to give the public accurate, timely, and useful information and instructions through the emergency period should be strengthened.				X								
11. Significant weaknesses in evacuation planning are an area of profound concern.						X				X	X	
12. Capabilities to manage reception and care for large numbers of evacuees are inadequate.	X								X			
13. Capabilities to track patients under emergency or disaster conditions and license of out-of-State medical personnel are limited.	X								X			
14. Resource management is the "Achilles heel" of emergency planning. Resource Management Annexes do not adequately describe in detail the means, organization, and process by which States and urban areas will find, obtain, allocate, track, and distribute											X	
15. Plans should clearly define resource requirements, conduct resource inventories, match available resources to requirements, and identify and resolve shortfalls.									X		X	

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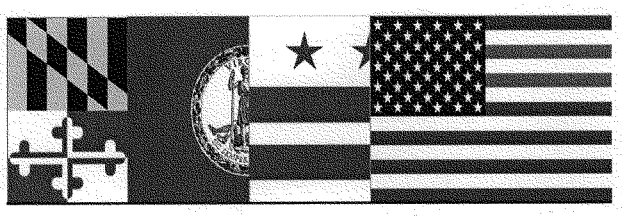
NATIONAL CAPITAL REGION HOMELAND SECURITY STRATEGIC PLAN



A strategic partnership to manage risk and strengthen capabilities

Volume II: Appendices

Washington, D.C.
September 2006

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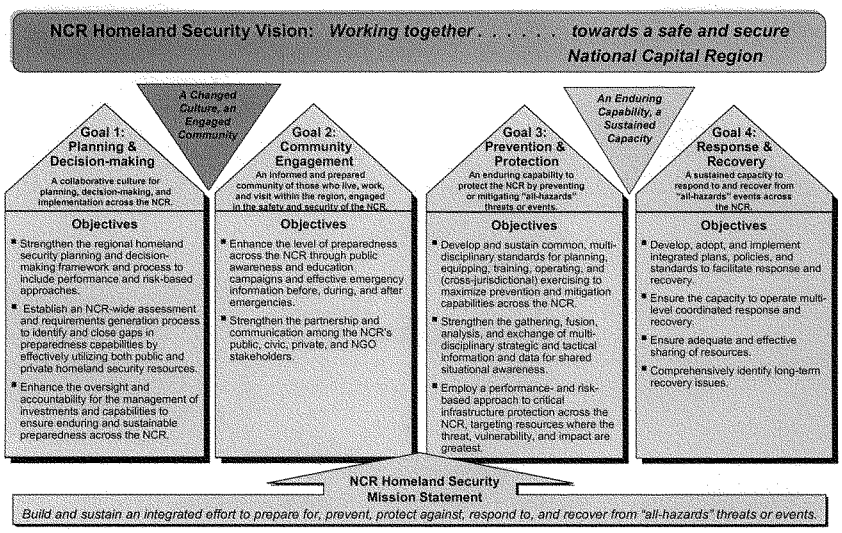
Appendix A: Strategic Goals, Objectives, Initiatives

A.1. Overview of Core Elements of the *Strategic Plan*

Appendix A outlines the Goals, Objectives, and Initiatives that comprise the core of the *Strategic Plan*. Guided by their Mission and Vision, we developed the four Goals and their 12 associated Objectives in response to identified Regional gaps and target capabilities. Figure A-1 below shows how our Vision, Mission, Goals, and Objectives relate to one another.

Figure A-1—Integration of the Core Elements of the *Strategic Plan*



The value of this *Strategic Plan* depends on its success in guiding the NCR toward the achievement of the Goals and Objectives. We intend to monitor the effectiveness of this *Strategic Plan* and its implementation by measuring progress against specific associated outcomes and we have identified outcome performance measures for each Goal and Objective. Table A-1 lists these measures. We will develop and execute plans for determining baselines and setting targets for these measures as part of the implementation planning to occur as the next phase of the planning cycle.

Table A-1—Goal and Objective Performance Measures

PLANNING & DECISION-MAKING	
Goal 1: A collaborative culture for planning, decision-making, and implementation across the NCR.	
Goal Measures: Support for NCR plans and decisions among NCR Partners and stakeholders (survey)	
Objectives	*Measures*
Objective 1.1: Strengthen the regional approach to homeland security planning and decision-making.	Stakeholder satisfaction with the *Strategic Plan* as determined by survey NCR Partners' satisfaction with program plans as determined by survey
Objective 1.2: Establish an NCR-wide process to identify and close gaps using public and private resources.	Percent implementation of selected priority countermeasures within 9 months of threat analysis completion
Objective 1.3: Enhance oversight of and accountability for the management of investments and capabilities.	Percent of NCR Partners' performance commitments satisfied
COMMUNITY ENGAGEMENT	
Goal 2: An informed and prepared community of those who live, work, and visit within the region, engaged in the safety and security of the NCR.	
Goal Measures: Percent of population found to be adequately prepared for emergency events (as defined by NCR citizen preparedness standards and evaluated via random survey of residents, workers, and visitors)	
Objectives	*Measures*
Objective 2.1: Increase public preparedness through education campaigns and emergency messaging before, during, and after emergencies.	Percent of population found to be adequately prepared for emergency events (as defined by NCR preparedness standards and evaluated via random survey of residents, workers, and visitors)
Objective 2.2: Strengthen the partnerships and communications among the NCR's public, civic, private, and NGO stakeholders.	Breadth of public-civic-private-NGO involvement (% of targeted roles filled) Depth of public-civic-private-NGO involvement (value of time and material resources committed)
PREVENTION & PROTECTION	
Goal 3: An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events.	
Goal Measures: Total reduction in aggregate initial impacts of 15 DHS National Planning Scenarios (as modeled per Initiative 4.4.1)	
Objectives	*Measures*
Objective 3.1: Develop and maintain common regional standards for planning, equipping, training, operating, and exercising.	Staff awareness of relevant framework provisions (survey or quiz) Jurisdictional adherence to frameworks (sampling or audit)
Objective 3.2: Strengthen the exchange and analysis of information across disciplines for improved situational awareness.	Participants' after-the-fact informed ratings of their situational awareness during test and real events
Objective 3.3: Employ a performance- and risk-based approach to critical infrastructure protection across the NCR.	Risk RoI - Estimated CI risk reduction per recommended dollar invested

RESPONSE & RECOVERY	
Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR.	
Goal Measures: Results of tests and exercises designed to measure multi-level coordinated emergency response performance; decreased time to pre-defined recovery stage, as determined by scenario modeling (per Initiative 4.4.1)	
Objectives	*Measures*
Objective 4.1: Develop and implement integrated response and recovery plans, policies, and standards.	Staff awareness of relevant framework plans, policies, and standards (survey or quiz) Jurisdictional adherence to plans, policies, and standards (sampling or audit)
Objective 4.2: Strengthen all components of an integrated region wide response and recovery capability.	Results of tests and exercises designed to measure multi-level coordinated emergency response performance
Objective 4.3: Improve and expand effective resource sharing systems and standards.	Percent of targeted resources owned by Regional entities which are shared, interoperable, and readily accessible
Objective 4.4: Identify and close gaps in long-term recovery capabilities.	Total decreased time to pre-defined recovery stage, as determined by scenario modeling (per Initiative 4.4.1)

The Goals and Objectives are supported by 30 Initiatives. During their development, the Initiatives were prioritized based on their alignment with and support of three criteria:

- Seven national priorities;
- 37 target capabilities developed by DHS; and
- Regional gaps identified by the NCR Partners

14 Initiatives are "priority Initiatives" to be considered first in line for implementation and funding. The other Initiatives are important but are secondary in terms of execution. Please see Table A-2 below for a list of the Initiatives and corresponding page numbers where they are discussed in detail in Section A-2.

Section A.2 provides an initial version of the roadmap for implementation. Section A.2 contains detailed tables on each Initiative that provides the Initiatives' descriptions, rationales, and desired results (outcomes). Each Initiative is further defined by identification of its key tasks, programs, and milestones upon which the rough order of magnitude (ROM) estimate of cost is built. Initiative timeframes, and their priority status when applicable, are also identified. Finally, initial performance management elements are included for each Initiative, including specific measures, baselines, and targets.

We are continuing to refine and develop the programmatic information contained in the Section A.2 tables. In particular, many of the Initiatives require significant development in terms of key tasks, programs, and milestones that will drive further identification of costs and a refinement of timeframes, leads, measures, baselines, and targets. The work required to fully develop the information for these tables is currently being conducted by the various working groups and committees that support the program development and project execution phases of the NCR homeland security preparedness lifecycle (see Section 4.1 for additional information).

Table A-2—*Strategic Plan* Initiatives

1.1.1	Develop and periodically update the Strategic Plan and related processes.	A-7
1.1.2	Document and implement the components and sequence of the NCR homeland security regional planning process, incorporating results of lessons learned.	A-8
1.2.1	Design and conduct a risk-based threat analysis to identify and address gaps in regional preparedness.	A-9
1.2.2	Establish a requirements generation and prioritization process that addresses needs of all practitioners.	A-10
1.3.1	Establish regional oversight and accountability function with appropriate tools and resources for performance transparency.	A-11
1.3.2	Develop investment lifecycle planning approach to ensure infrastructure and resources are available to support multi-year operational capabilities.	A-12
2.1.1	Establish regional protocols and systems for developing and distributing emergency information to all NCR populations.	A-13
2.1.2	Develop and sustain multi-year education campaigns to provide all the public (residents, workers, and visitors) with preparedness information.	A-15
2.2.1	Identify and develop opportunities and resources for stakeholder partnerships to broaden participation in public disaster preparedness.	A-17
2.2.2	Increase civic involvement and volunteerism in all phases of disaster preparedness.	A-19
3.1.1	Develop a prevention and mitigation framework for the region.	A-20
3.1.2	Develop a synchronized and integrated training and exercise framework, with appropriate common standards.	A-21
3.1.3	Develop an integrated plan related to health surveillance, detection, and mitigation functions among NCR Partners.	A-22
3.1.4	Develop a community-wide campaign, focused primarily on prevention and deterrence.	A-23
3.2.1	Develop common regional information-sharing and collaboration frameworks, to include determining roles, responsibilities and protocols.	A-24
3.2.2	Ensure that each jurisdiction has appropriate people cleared to receive, analyze, and act on sensitive and classified information.	A-25
3.3.1	Conduct a prioritization of recommended high priority CIP protective and resiliency actions based on security assessment findings already completed and shared with the NCR.	A-26
3.3.2	Create an inventory of CI/KR assets and work on developing a common methodology for assessing the risk to CI/KR across the NCR and recommend initial protective and resiliency actions.	A-27
4.1.1	Establish a corrective action program to modify plans by addressing gaps identified in analyses, exercises, and events.	A-28
4.1.2	Align and integrate response plans across jurisdictions (including Federal partners), with emphasis on continuity of government, operations, and evacuation.	A-29
4.1.3	Define capabilities and expectations for decontamination and re-entry.	A-30
4.2.1	Develop coordinated and standardized protocols for mandatory notification of regional partners during an emerging incident to maintain situational awareness.	A-31
4.2.2	Develop and implement a plan for regionally coordinated adoption and employment of National Incident Management System (NIMS).	A-32
4.2.3	Develop and implement enhanced regional architecture, infrastructure, and concept of operations for communications and protection of sensitive and classified information.	A-33
4.3.1	Develop a regional resource management system for deployment and utilization of resources.	A-35
4.3.2	Establish and implement regional, interdisciplinary protocols (e.g., mutual aid agreements).	A-36
4.3.3	Establish and implement regional, interdisciplinary standards for equipment interoperability.	A-37
4.4.1	Model and exercise the appropriate 15 DHS scenarios to assess region-wide impact.	A-38
4.4.2	Align public, private, and NGO resources with identified needs for response and recovery.	A-39
4.4.3	Review existing programs, mutual aid agreements, MOUs, and legislation to identify and close gaps in facilitating long- term recovery.	A-40
	Note: Shaded Boxes represent priority Initiatives.	

A.2. Initiatives and Corresponding Investment, Resources, and Performance Measures

This section captures the detail and content of the NCR strategic Initiatives. Table A-3 outlines the organization of Initiative content in Section A-2.

Table A-3—Organization of Initiative Content

Preparedness Stage: **Planning & Policy, Community Outreach, Prevention & Protection, Response & Recovery**			
Related Goal Number			
Related Objective Number			
Initiative Number and Content			***PRIORITY*** *This green box will be present only for those 14 Initiatives designated as priority*
Initiative Description			
Further description and interpretation of the Initiative wording and implications			
Rationale			***Desired Result***
Purpose of the Initiative and strategic preparedness needs met, with specific references to the Target Capabilities List (TCL), Emergency Management Accreditation Program (EMAP), and identified Regional gaps.			*Planned outcome of the Initiative*
Key Tasks and Programs		***Milestones***	
▸ *Important activities and programs related to the success of the Initiative*		*Verifiable accomplishments on the path to Initiative completion and success. Years shown are calendar years.*	
Rough Order of Magnitude (ROM) Estimate of Cost		*Estimate of the scale range of cost to inform the launch of Initiative operational planning*	
ROM Cost Estimate Assumptions			
Assumptions that were used to derive ROM estimates. Assumptions were made based upon the data available to date. It is expected that assumptions will be updated as data and resource information becomes available.			
Types of Resources and Investments			
Data related to resource investment and projects			
Time-frame:	*Strategic planning stage and term*	***Initiative Lead:***	*The Initiative Leads are responsible for the definition, development, and enhancement of the Initiatives. Leads will provide oversight for the performance of the Initiative against Goals and Objectives. The team will be accountable to the NCR leadership for the successful and timely accomplishment of their Initiative. Project management support will be provided for UASI grant projects through the NCR Homeland Security Grants and Program Management Office. Lead support groups will also be identified to provide subject matter expertise and coordination with their functional area as required.*
Performance Assessment			
Measure		***Baseline***	***Target***
Initiative performance indicators		*Current performance (or estimate of when data will be available)*	*Performance targets (or estimate of when target will be set)*

Note on *Strategic Plan* Funding
Funding source identification, investment justification, and allocation decisions will be made as a part of the implementation planning process. Funding source analysis and allocation is not part of the NCR strategic planning effort and not included in the *Strategic Plan*.

All 2006 DHS UASI grant projects and proposals are supportive of the Initiatives as detailed in the tables below. Current funding for the UASI proposed projects has been reviewed and funding allocations and investments made based upon Regional and state appropriations.

Foreword on ROM Cost Estimates provided in the Initiative Appendix
We derived the cost estimates in the *Strategic Plan* from review and analysis of *available* cost and resource samples, prior capability estimates, and historical budget data. Each Initiative ROM cost range is dependent upon the level and detail of source data provided. In most cases, non-priority Initiatives have not matured sufficiently to fully detail resource and investment requirements.

Accordingly, the focus of cost estimation has been on the critical, near-, and middle-term Initiatives. The objective of the cost estimates was to set a range against required resources and investment types.

In general, estimation of priority Initiative ROM cost came from a process of roughly linking UASI capability development budget estimates with related priority Initiatives and projecting maintenance and implementation requirements across the three-year period of performance (FY2007 to FY2009). The effort was closely associated with the creation of a draft Initiative sequence and timeline for execution (see Section 4.2 and Appendix C) that proposes a logical order, start, end, and duration of strategic activities across the period of performance. If an Initiative lacked sufficient information for a detailed ROM cost estimate, available detail related to resourcing, task estimation, and assumptions has been included in Tables A-4 through A-7 for reference.

Estimates included in the *Strategic Plan* are intended to give a sense of scale and level of effort required to implement the *Strategic Plan* only. Detailed mapping and alignment of target capabilities against Initiative activities and investments will be required for more definitive program and project planning estimates. Costs will be refined as the Initiative matures and the Initiative Leads develop operational, program, and project plans. Detail around requirements for resources, equipment, and investments will add vital context to cost estimates that will in turn address some of the assumptions we made in Appendix A. As Initiative planning progresses, requirements development will aid in the understanding of cost factors that influence NCR capability development and identify opportunities for cost avoidance and savings to the preparedness capability enhancement effort.

Table A-4—Goal 1 (Planning & Decision-making)

PLANNING & DECISION-MAKING			
Goal 1: A collaborative culture for planning, decision-making, and implementation across the NCR			
Objective 1.1: Strengthen the regional approach to homeland security planning and decision-making			
Initiative 1.1.1: Develop and periodically update the *Strategic Plan* and related processes			**PRIORITY**
Initiative Description			
Document the process, policies, and practices to be followed in producing the Regional strategic plan, with particular focus on the roles played in the planning process by the SPG Committee, CAO Committee, R-ESF Committee Chairs, EPC (including a broad cross section of private and civic sector participants), and the NCRC. Regularly update, based on lessons learned and new information, both the *Strategic Plan* and the development process.			
Rationale			***Desired Result***
Addresses the *TCL* **Planning** capability and EMAP standards related to **Program Administration, Program Evaluation, Laws and Authorities, and Planning**. Addresses Regional gaps regarding **Inclusion of the Private Sector in Regional Planning**.			Timely adoption of strategic plans well-accepted by participants
Key Tasks and Programs		***Milestones***	
▸Draft strategic plan development process ▸Obtain process acceptance from NCR participants ▸Complete first strategic plan ▸Document lessons from previous cycle ▸Interview stakeholders for requirements from new stakeholders ▸Draft proposed process changes ▸Validate changes ▸Adopt new process		(1) Initial draft of proposed strategic planning process (October 2005); (2) NCR participants approve process (December 2005); (3) First strategic plan complete (August 2006); (4) Lessons learned from previous cycle captured (October 2006); (5) New cycle requirements drafted (February 2007); (6) Revised process adopted by NCR participants (March 2007)	
Rough Order of Magnitude (ROM) Estimate of Cost		\$800K to \$1.5M	
ROM Cost Estimate Assumptions			
Cost will be incurred over 18-month period, FY06. Cost estimates only include the development of the *Strategic Plan* and framework for the August 1 final document and 8 months for *Strategic Plan* enhancements as operational plans are developed in the NCR. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. Program plans may require an increased level of resourcing. Cost savings will be realized as programs mature and best practices are incorporated into program operations. Costs for sustainment of current infrastructure are not included. Costs for integration of regional and local NCR programs are not included in the cost estimates. ROM cost has not been risk adjusted.			
Types of Resources and Investments			
Strategic framework planning: Related project: NCR Strategy Process Development and Support; 8 full-time equivalent (FTE) contractors, overhead; 4 FTE government team, time, and materials. Development of strategic planning process and decision-making support framework. Implementation of framework: 9 contractors, overhead; Government team: time and materials. Firm Fixed Price Contract.			
Time-frame:	Early stages (FY 06, 07)	***Initiative Lead:***	EPC
Performance Assessment			
Measure		***Baseline***	***Target***
Time to develop and adopt *Strategic Plan*		2 years	Target to be adopted by September 2006

PLANNING & DECISION-MAKING

Goal 1: A collaborative culture for planning, decision-making, and implementation across the NCR

Strengthen the regional approach to homeland security planning and decision-making

Initiative 1.1.2: Document and implement the components and sequence of the NCR homeland security regional planning process, incorporating results of lessons learned

Initiative Description

Document how implementation plans for specific Initiatives and action items are developed, based on the *Strategic Plan*. Include steps to incorporate the results of performance and risk-based assessments such as EMAP and the *Nationwide Plan Review*. Specify roles for all of the NCR Partners.

Rationale	*Desired Result*
Addresses the EMAP standard related to **Program Coordination**. Addresses Regional gaps regarding **Resource Management and Prioritization**.	Timely adoption of implementation plans with strong across-the-board support, leading to improved performance and risk reduction
Key Tasks and Programs	***Milestones***
▸Conduct assessment of 14 key NCR capabilities ▸Develop Concept Papers for candidate UASI projects ▸Identify and prioritize projects against capabilities ▸Complete and submit UASI grant application ▸Receive and allocate UASI award ▸Develop project plans and program management plan ▸Document current project execution planning process, relevant assessments, and desired planning participants ▸Interview stakeholders for improved planning requirements and NCR Partner roles ▸Draft proposed revised process including participation roles ▸Validate draft with stakeholders ▸Obtain approval of new process	(1) Capability assessment complete (January 2006); (2) Concept Papers submitted (January 2006); (3) Projects prioritized (February 2006); (4) UASI application submitted; (5) UASI grant awarded (May 2006); (6) Project plans developed (June 2006); (7) UASI funds allocated (July 2006); (8) Program management plan developed (August 2006); (9) Current project execution planning process documented (November 2006); (10) Stakeholder interviews complete (January 2007); (11) New process drafted (March 2007); (12) New process validated with stakeholders (May 2007); (13) Process ratified (June 2007)
Rough Order of Magnitude (ROM) Estimate of Cost	$500,000 - $1M

ROM Cost Estimate Assumptions

Cost will be incurred over 21-month period, FY06 through FY07. The Initiative will occur early in the program and overlap with 1.1.1. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.

Types of Resources and Investments

Number and cost of FTEs required not defined. Scenario-based Threat Analysis and Assessment project. Contractor service contract to compile risk and threat assessment and analysis from programs across DC, MD, and VA that include capability and task planning for securing the NCR.

Time-frame:	Early stage (FY 06 to 07)	*Initiative Lead:*	NCR Homeland Security Grants and Program Management Office

Performance Assessment

Measure	*Baseline*	*Target*
Percent of required implementation plans completed within 9 months of *Strategic Plan* release	Data to be available by June 2007	
Improvement in performance- and risk-based assessment results	Data to be available by March 2007	

PLANNING & DECISION-MAKING	
Goal 1: A collaborative culture for planning, decision-making and implementation across the NCR	
Objective 1.2: Establish an NCR-wide process to identify and close gaps using public and private resources	
Initiative 1.2.1: Design and conduct a risk-based threat analysis to identify and address gaps in regional preparedness	**PRIORITY**
Initiative Description	
Develop a methodology for identifying and assessing security risks in the NCR, using a scenario-based risk and threat assessment consistent with HSPDs 7 and 8. Conduct the analysis using the methodology to identify risks due to gaps in preparedness. Develop, prioritize, and select the appropriate risk countermeasures to remedy identified gaps.	
Rationale	***Desired Result***
Addresses the *TCL* **Risk Management** capability and EMAP standard related to **Hazard Identification and Risk Assessment**. Addresses Regional gaps regarding **Public-Private Coordination** and **Resource Management and Prioritization**.	Clear and accurate risk identification and mitigation ranking; maximum risk reduction for available resources
Key Tasks and Programs	***Milestones***
▸Develop description of assessment need ▸Document potential methodologies ▸Evaluate methodologies ▸Select approach and adapt as necessary ▸Identify scenarios ▸Assess level of risk ▸Develop risk mitigations ▸Refine and validate countermeasures ▸Cost countermeasures ▸Rank mitigations by cost-effectiveness ▸Select countermeasures for action	(1) Risk analysis requirements defined (September 2006); (2) Potential methodologies documented and evaluated (September 2006); (4) Approach selected and adapted (October 2006); (5) Risk analysis design approved (October 2006); (6) Scenarios developed (November 2006); (7) Threat, vulnerability and impact quantified (December 2006); (8) Potential countermeasures identified (January 2007); (9) Validated countermeasures completed and costed (February 2007); (10) Countermeasures ranked and selected for action (March 2007)
Rough Order of Magnitude (ROM) Estimate of Cost	$2M to $4M
ROM Cost Estimate Assumptions	
Cost will be incurred over a 7-month effort, FY06 to FY07. Estimated costs relate to design and development of risk and gap analysis process only. ROM cost has not been risk adjusted. Risk assessment is a non-recurring cost impacting the FY06 budget only. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. Gap analysis will be a non-recurring cost impacting the FY07 budget only, duration 3 months. ROM cost has not been risk adjusted.	
Types of Resources and Investments	
Number and cost of FTEs required not defined. Scenario-based Threat Analysis and Assessment project. Contractor service contract to compile risk and threat assessment and analysis from programs across DC, MD, and VA that include capability and task planning for securing the NCR. Related projects and programs: Emergency Management Accreditation Program (EMAP, 04.1.12.b, also listed in 1.2.2), NCR Mass Casualty and Surge Development Initiative-Phase 1 (04.1.2.PL), Mass Casualty and Surge Capacity Development Initiative (8BUAS5), Securing Freight Rail Transportation (1BUAS5), Main Exercise and Training Operations Panel (ETOP) RPWG completed analysis in 2005. Gap Analysis for Patient Tracking 2006, Interoperable Communications gap analysis scheduled for 2006.	
Time-frame: Early (FY 06, 07)	***Initiative Lead:*** NCR Homeland Security Grants and Program Management Office
Performance Assessment	
Measure	***Baseline*** / ***Target***
CAO rating of usefulness of threat analysis in decision-making	Data to be available by December 2006

PLANNING & DECISION-MAKING			
Goal 1: A collaborative culture for planning, decision-making, and implementation across the NCR			
Objective 1.2: Establish an NCR-wide process to identify and close gaps using public and private resources			
Initiative 1.2.2: Establish a requirements generation and prioritization process that addresses needs of all practitioners			**PRIORITY**
Initiative Description			
Translate the selected countermeasures from the risk assessment into requirements at the Regional, jurisdictional, and State levels. Involve the R-ESFs in this process to emphasize understanding the vantage point of the end-user and to minimize the use of acronyms, code, and jargon.			
Rationale		***Desired Result***	
Addresses the EMAP standard related to **Hazard Mitigation**. Addresses Regional gaps regarding **Resource Management and Prioritization** and **Regional Analysis of Threats**.		Requirements accurately identified to enable countermeasure execution	
Key Tasks and Programs		***Milestones***	
▸Define ESF roles and responsibilities ▸Appoint ESF membership ▸Identify all requirements implied by selected countermeasures ▸Align requirements to entities and correct for requirements already satisfied ▸Prioritize remainder according to countermeasure ranking		(1) Revised ESF roles, responsibilities, and membership documented (March 2007); (2) All requirements implied by selected countermeasures identified (April 2007); (3) Net requirements aligned to entities (May 2007); (4) Requirements prioritized (June 2007)	
Rough Order of Magnitude (ROM) Estimate of Cost		$300K to $500K	
ROM Cost Estimate Assumptions			
Costs will be incurred over 4 months, FY07. Cost estimate only includes cost of services for the development of prioritization process. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.			
Types of Resources and Investments			
Identify Needs. Related Projects: EMAP Project (04.1.12.b, X2UAS5, also listed under 1.2.1); number of FTEs required not defined. Enhance the role of ESF Committees. Initiative limited to defining R-ESF role, significant ESF interaction will be required. Contractor-provided facilitation and alignment contract for the improvement of the program development process.			
Time-frame:	Middle stage (FY 07)	***Initiative Lead:***	NCR Homeland Security Grants and Program Management Office
Performance Assessment			
Measure		***Baseline***	***Target***
R-ESF members' knowledge and support of Regional requirements for their function, as determined by survey		Data to be available by May 2007	Data to be available by May 2007

PLANNING & DECISION-MAKING

Goal 1: A collaborative culture for planning, decision-making, and implementation across the NCR

Objective 1.3: Enhance oversight of and accountability for the management of investments and capabilities

Initiative 1.3.1: Establish regional oversight and accountability function with appropriate tools and resources for performance transparency

PRIORITY

Initiative Description

Establish a specific oversight and accountability role for the EPC, SPG, and CAOs to ensure that performance targets are being met and programs are being implemented efficiently. Foster increased transparency, openness, and coordination by setting up technology tools and other resources allowing all Regional stakeholders to be aware of activities and Initiatives occurring throughout the NCR. The Initiative intent is to ensure that project management, system performance, and bottom line public service objectives are being met.

Rationale	*Desired Result*
Addresses the EMAP standard related to **Advisory Committee**.	NCR Partners are accountable for commitments and aware of status of NCR activities

Key Tasks and Programs	*Milestones*
▸Fully staff NCR SAA ▸Develop MWCOG Homeland Security website ▸Provide project management training to NCR personnel ▸Develop program management plan ▸Establish performance audit capacity ▸Establish accountability feedback mechanism ▸Establish QA/QC function ▸Implement measures of effectiveness (MOE) ▸Include MOE results in Annual Report to Congress ▸Conduct exercises and events with after action reporting ▸Develop web-based information-sharing portal ▸Establish standards and requirements for electronic information-sharing ▸Make existing materials electronically accessible	(1) MWCOG website developed (October 2005); (2) Project management training provided (December 2005); (3) Program management plan developed (August 2006); (4) Performance definitions and measures established (October 2006); (5) NCR entities report regularly against measures (January 2007); (6) NCR collects performance data from exercises, training, and other events (February 2007); (7) NCR conducts Region-wide performance reviews (March 2007); (8) Entities provide plans for addressing performance gaps (June 2007); (9) Types of information-sharing support needs identified (April 2007); (10) Functional specification for new information-sharing capabilities established (May 2007); (11) NCR performance data is made publicly available (September 2007); (12) Information-sharing system use and security policies and standards developed (July 2007); (13) Information-sharing capabilities designed (September 2007); (14) Capabilities implemented (January 2008)

Rough Order of Magnitude (ROM) Estimate of Cost	$6M to $7M

ROM Cost Estimate Assumptions

Cost will be incurred over 26 months, FY06 through the beginning of FY08. Cost estimates are related to staffing oversight and accountability functions for SPG and CAO only. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.

Types of Resources and Investments

CAO, SPG, and NCR Homeland Security Grants and Program Management Office Oversight Function. Secretarial Support to CAO and EPC (0.3.1.1.PL, 04.1.9.PL, XIUAS5), Planning for Health Committee (03.2.0.COG), COG; 10 NCR Offices (including NCR Homeland Security Grants & Program Management Office), 5 Program Managers: 3 State Program Managers, Office of Deputy Mayor for Public Security and Justice (ODMPSJ), 8 FTEs and administrative costs. Approximately 4.5M per year with additional cost of staff identification and coordination between offices. MWCOG website, application timeline process.

Time-frame:	Early and middle stages (FY 06, 07, 08)	*Initiative Lead:*	NCR Homeland Security Grants and Program Management Office

Performance Assessment

Measure	*Baseline*	*Target*
Utilization rates for collaboration and information-sharing systems	Data to be available by June 2007	
Partners' awareness of NCR activity status (by survey)	Data to be available by April 2007	

PLANNING & DECISION-MAKING

Goal 1: A collaborative culture for planning, decision-making and implementation across the NCR

Objective 1.3: Enhance oversight of and accountability for the management of investments and capabilities

Initiative 1.3.2: Develop investment lifecycle planning approach to ensure infrastructure and resources are available to support multi-year operational capabilities

Initiative Description

Establish and adopt methodologies for lifecycle cost estimating when making investment decisions, in order to ensure that investments are funded to include full multi-year operational costs. Develop mechanisms to coordinate application of these methodologies across Regional jurisdictions to investments in public and private infrastructure and reserve capability.

Rationale	*Desired Result*
Addresses the EMAP standard related to **Financial and Administration**. Addresses Regional gaps regarding **Resource Management and Prioritization**.	Resources are available to make full use of investments

Key Tasks and Programs	*Milestones*
▸Define investment priorities of the Region and its jurisdictions ▸Integrate with current or proposed spending and/or funding programs ▸Establish lifecycle guidance standards to be applied when reviewing cost estimates for investment decisions ▸Establish processes for availability/integration of lifecycle information in Regional and jurisdictional decision-making processes ▸ Use Capital Planning and Investment Controls (CPIC) to ensure cost management	(1) Long-term risk mitigation investment policy objectives established (October 2007); (2) Strategic planning guidance developed based on these objectives for Regional public- and private-sector entities (November 2007); (3) Objectives reflected in grant applications (December 2007); (4) Life-cycle investment planning guidance standards established (January 2007); (5) Life-cycle guidance applied to grants process (March 2007); (6) Investment policy objectives reflected in various Regional and jurisdictional plans (March 2007); (7) Life-cycle guidance applied to internal decision-making processes within NCR (October 2007)

Rough Order of Magnitude (ROM) Estimate of Cost	$1M to $3M

ROM Cost Estimate Assumptions

Cost will be incurred over 19-month duration, FY06. 6 FTEs, cost for approach development only, including incorporation of other lifecycle related plans (existing planning documents). *Strategic Plan* development activities are estimated as a contract. Cost will be incurred over 19-month period during FY07. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. ROM cost estimate has not been risk adjusted.

Types of Resources and Investments

Resource multi-year capabilities and toolsets. Related programs and projects: Text Alert Maintenance Contract (04.1.14), Partial Funding for Roam Secure Maintenance Contract (04.1.18), Operational Cost Reimbursements (04.1.19, Set aside OCRUAS5), NCR Radio Cache Logistics (4C1UAS5), NoVA Emergency Management Messaging Network (Emnet, VA1UAS5), Maintenance Contract for Text Alert System (Roam Secure, RQ222987). Personnel: Operational Systems SME, Program Managers. Detailed Resource information not yet available. Long term investment in infrastructure. Related projects: Standardized CIP Assessment Tools (03.1.4.PL), Regional Water Supply emergency Operational Plans and Best Management Practices Guide for Water Security (3DUAS5).

Time-frame:	Early and Middle stage (FY 06, 07, 08)	*Initiative Lead:*	NCR Homeland Security Grants & Program Management Office

Performance Assessment

Measure	*Baseline*	*Target*
Funding shortfalls for investment-related operational resource	Data to be available by January 2007	
Percent of investments incorporating coordinated homeland security and other objectives	0	Data to be available by January 2007

Table A-5—Goal 2 (Community Engagement)

COMMUNITY ENGAGEMENT	
Goal 2: An informed and prepared community of those who live, work, and visit within the region, engaged in the safety and security of the NCR	
Objective 2.1: Increase public preparedness through education campaigns and emergency messaging before, during, and after emergencies	
Initiative 2.1.1: Establish regional protocols and systems for developing and distributing emergency information to all NCR populations	**PRIORITY**
Initiative Description	
Develop and approve message templates consistent with the 15 DHS scenarios and the NCR's target and special needs populations (including visitors, people with disabilities, and non-English speakers). Establish and conduct training and exercises on processes and protocols for dissemination of information. Implement a "system of systems" to provide warning, alert and notification, and continuing information to the population before, during, and after an emergency.	
Rationale	***Desired Result***
Addresses the TCL **Emergency Public Information and Warning** capability and EMAP standards related to **Communications and Warning** and **Crisis Communications, Public Education and Information**. Addresses Regional gaps regarding **Standardized Alert Notification Procedures, Region-Wide Strategic Communications, Public Information Dissemination**, and **Special needs considerations for response and recovery**.	Timely, accurate, specific, coordinated, and consistent messages delivered to all populations across the Region
Key Tasks and Programs	***Milestones***
▸Develop a First Hour Checklist ▸Conduct Outdoor Warning System Pilot ▸Implement mass notification system (Reverse 911) ▸Develop fully functional NCR 211 database ▸Install dynamic messaging on evacuation routes ▸Deploy RSAN alert network ▸Define additional system requirements ▸Evaluate potential system solutions ▸Develop message templates ▸Identify target and special needs populations and communications channels ▸Establish message development and dissemination guidelines ▸Conduct messaging training, exercises and assessments ▸Acquire and integrate system solutions ▸Train system users ▸Test systems ▸Assess performance ▸Multi-lingual messaging; Specific communications media; 508 compliance, Braille in printed materials, sign language in video; Specific requirements for special needs (e.g. assistance in elevators)	(1) First Hour Checklist completed (June 2006); (2) Outdoor Warning pilot complete (September 2006); (3) Reverse 911 fully operational (January 2007); (4) 211 database fully functional (February 2007); (5) Additional system needs defined and prioritized (September 2006); (6) Potential means for providing capabilities researched and selected (December 2006); (7) Base messages developed for 15 DHS scenarios (January 2007); (8) Target and special needs populations identified and communication channels selected (February 2007); (9) Targeted message templates developed (March 2007); (10) Message development guidelines approved (April 2007); (11) Contact persons identified for all localities (May 2007); (12) Message dissemination guidelines approved (May 2007); (13) Training of appropriate staff completed in all localities (September 2007); (14) First round of exercises complete (November 2007); (15) Assessment of exercise results completed and distributed (December 2007) (16) New systems or enhancements in place (December 2007); (17) Training of relevant staff on new systems completed (March 2008); (18) System performance assessment methodology adopted (May 2008); (19) Exercise of notification systems conducted (August 2008); (20) Assessment of exercise results completed and distributed (November 2008)
Rough Order of Magnitude (ROM) Estimate of Cost	$20M to $25M
ROM Cost Estimate Assumptions	
Cost will be incurred over 32 months, FY06 through early FY09. System of systems design and implementation will continue throughout FY06, FY07, FY08, and into FY09. System maintenance will be a fixed cost for the 2.5 year period. No new hardware or software is required for "enhancement." *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM,	

scale estimate only. ROM cost has not been risk adjusted.			
Types of Resources and Investments			
Number and cost of FTEs required not defined, except 4 FTEs with target communications background and familiarity with special needs campaigns. Investment in enhanced public safety warning systems and citizen protection. Communications Standard Operating Procedure, Communications Equipment and Infrastructure Assessment and implementation. Related Projects: Sirens Pilot, Roam Secure (RSAM), Reverse 911: Protocols for Mass Notification, JIC, Answers 2-1-1, TOPOFF 4, First Hour Checklist, Communications Plan (protocols, emergency messaging and Messaging Boards (Traffic Signals-Emergency Power Back-up). Testing and integration across DC, MD, and VA.			
Time-frame:	Early through late stages (FY 06 - 09)	***Initiative Lead:***	R-ESF #5 Emergency Management
Performance Assessment			
Measure		***Baseline***	***Target***
Regional emergency messaging tests per year		Data to be available by November 2006	
Test message timeliness – time required in exercises to produce and disseminate messages		Data to be available by May 2007	
Test message response – percentage of intended recipients of test messages who respond as directed			

COMMUNITY ENGAGEMENT

Goal 2: An informed and prepared community of those who live, work, and visit within the region, engaged in the safety and security of the NCR

Objective 2.1: Increase public preparedness through education campaigns and emergency messaging before, during, and after emergencies

Initiative 2.1.2: Develop and sustain multi-year education campaigns to provide all the public (residents, workers, and visitors) with preparedness information — PRIORITY

Initiative Description

Coordinate and align jurisdictional efforts to ensure consistent public preparedness education campaign messages across the NCR. Put in place a Regionally coordinated plan to ensure sufficient funding for multi-year education campaigns. Work with the media to inform the public of recommended preparedness actions.

Rationale	*Desired Result*
Addresses the EMAP standards related to **Crisis Communications, Public Education and Information**. Addresses Regional gaps regarding **Region-Wide Strategic Communications** and **Public Information Dissemination**.	NCR residents are informed and motivated concerning their roles in Regional preparedness. Continuity of funding for ongoing campaigns is assured.

Key Tasks and Programs	*Milestones*
▸Identify communication objectives and target audiences ▸Assess the awareness and attitudes of the target audience(s) ▸Develop the communications plan ▸Identify long-term funding needs ▸Establish long-term funding plan ▸Refine and approve the plan ▸Deliver education campaign ▸Assess effects of campaign	(1) Basic messages identified (March 2006); (2) Delivery strategy developed (audiences and channels) (September 2006); (3) Media engagement strategy adopted (November 2006); (4) Campaign plans finalized, including assessment plans (January 2007); (5) Resources needed identified on a full lifecycle cost basis (February 2007); (6) Long-term funding plan documented (April 2007); (7) Campaigns initial phase completed (January 2008); (8) Campaign assessment results distributed (February 2008)

Rough Order of Magnitude (ROM) Estimate of Cost	$4M to $6M

ROM Cost Estimate Assumptions

Cost will be incurred over 25 months, FY06 through FY08. Cost estimates related to public preparedness communication campaigns. Cost will be incurred January FY06 through January FY08. Overlaps with 2.2.1 and 2.2.3. Current media campaigns are an accurate predictor of future cost. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.

Types of Resources and Investments

Number and cost of FTEs required not defined. Related programs and projects: Media in the First Response Symposium (03.1.7.PL), Citizen Education Campaign (03.1.8.PL), Outreach to Private Sector for Citizen Education Campaign Contract (03.1.1.aPL). Be Ready to Make a Plan, Regional Marketing and Alert & Notification- system investment. Approximately $1.7M per year. Citizen Education Campaign (03.1.8.PL), Outreach to Private Sector for Citizen Education Campaign Contract (03.1.1.aPL. Detailed resource information not yet available. Red Cross "Masters of Disaster" K-12 Program, 5D Volunteer Grants Program (Education portion coordination).

Time-frame:	Early and middle stages (FY 06, 07, 08)	*Initiative Lead:*	R-ESF #15 External Affairs

Performance Assessment

Measure	*Baseline*	*Target*
Preparedness understanding–population's awareness of preparedness actions to take (average score of respondents on preparedness quiz)	50%	65%
Preparedness intentions–population's intentions to implement recommended preparedness actions (percent of respondents planning to take at least one desired action)	50%	65%
Proportion of population signed up for alert systems	0%	20%
Percent net present value of future campaign costs provisionally matched with sources	Data to be available by April 2007	

COMMUNITY ENGAGEMENT

Goal 2: An informed and prepared community of those who live, work, and visit within the region, engaged in the safety and security of the NCR

Objective 2.2: Strengthen the partnerships and communications among the NCR's public, civic, private, and NGO stakeholders

Initiative 2.2.1: Identify and develop opportunities and resources for stakeholder partnerships to broaden participation in public disaster preparedness

Initiative Description

Provide opportunities for individuals, community groups, members of the private sector, and non-governmental organizations to become involved in disaster preparedness (including planning, training and exercises, and message dissemination). Create channels for sharing information with this broad base of participants. Arrange mechanisms (such as mutual aid agreements) to increase resource sharing, where appropriate, between government agencies and the Region's civic, private, and NGO stakeholders.

Rationale	*Desired Result*
Addresses the TCL **Community Preparedness and Participation** capability. Addresses Regional gaps regarding **Inclusion of the Private Sector in Regional Planning, Public-Private Coordination, and Public Information Dissemination**.	Greater involvement of civic, private, and NGO members in Regional preparedness activities

Key Tasks and Programs	*Milestones*
▸Restructure R-ESF processes to include private sector and NGO coordination ▸Design civic, private, and NGO roles into training and exercises ▸Recruit participation ▸Design information-sharing needs ▸Identify desired contact points for information flow ▸Formalize civic, private, and NGO preparedness roles in NCR governance and operations ▸Establish communication channels ▸Maintain the channels ▸Conceptually identify shareable resources ▸Identify and contact potential civic, private, and NGO resource-exchange partners ▸Specify proposed resource-sharing matrix (resources, owners, borrowers) ▸Formalize sharing arrangements	(1) Plan for broadened participation adopted (November 2006); (2) Preparedness activities redefined to allow for additional participation roles (February 2007); (3) Desired information flows documented (March 2007); (4) Tentative resource-sharing objectives documented (March 2007); (5) Participation of desired entities solicited (April 2007); (6) Potential resource-sharing partners briefed and interviewed (June 2007); (7) Information channels established (March 2008); (8) Ratify new governance and operational documentation formalizing civic, private and NGO roles in the NCR. (9) Resource-sharing matrix complete (May 2008); (10) Recruitment for expanded civic, private and NGO participation complete (April 2008); (11) Formal sharing arrangements in place (June 2008); (12) Review and incorporate strategic best practices (November 2009); (13) Revise strategic planning for Initiative implementation and prioritization of ongoing efforts (December 2008)

Rough Order of Magnitude (ROM) Estimate of Cost	Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG. Plan development: $500K to $1.5M.

ROM Cost Estimate Assumptions

Cost will be incurred over 27-month period, FY07 through FY09. Labor intensive effort. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.

Types of Resources and Investments

Stakeholder identification by R-ESFs. Resource information not yet available.

Time-frame:	Early to late stages (FY 07, 08, 09)	*Initiative Lead:*	R-ESF #15 External Affairs

Performance Assessment

Measure	*Baseline*	*Target*
Number of stakeholder participation opportunities made available (by jurisdiction, activity, and type of entity)	Data to be available by November 2006	
Proportion of desired information exchanges occurring (as defined in Milestone 3)	Data to be available by March 2007	
Value of resources that are the subject of formal sharing arrangements		

COMMUNITY ENGAGEMENT

Goal 2: An informed and prepared community of those who live, work, and visit within the region, engaged in the safety and security of the NCR

Objective 2.2: Strengthen the partnerships and communications among the NCR's public, civic, private, and NGO stakeholders

Initiative 2.2.2: Increase civic involvement and volunteerism in all phases of disaster preparedness — PRIORITY

Initiative Description

Engage all NCR residents and visitors – including children and those with special needs – in NCR preparedness activities, including personal and family preparedness, volunteering, and local- and Regional-level activities. This includes operationalizing volunteer roles, specifying plans for this process, protocols, and procedures.

Rationale	*Desired Result*
Addresses the *TCL* **Community Preparedness and Participation** and **Volunteer Management and Donations** capabilities and EMAP standards related to **Resource Management**. Addresses Regional gaps regarding **Inclusion of Private Sector in Regional Planning** and **Special Needs Consideration for Response and Recovery**.	The public is actively involved in preparedness activities, through private preparation and volunteer roles.

Key Tasks and Programs	*Milestones*
▸Segment the population in terms of participation ▸Identify involvement roles by segmentation ▸Recruit involvement with targeted outreach ▸Plan for management of spontaneous volunteers during emergency ▸Recruit volunteers ▸Provide training for volunteers through Citizen Corps, Red Cross, etc. ▸Develop system for managing volunteers	(1) Volunteer emergency roles across the Region profiled and catalogued (September 2006); (2) Emergency volunteer management plan adopted (February 2007); (3) Public engagement plan complete (April 2007); (4) Volunteer management system requirements specified (June 2007); (5) Volunteer training material and delivery developed (August 2007); (6) Targeted recruitment underway (August 2007); (7) Initial recruitment campaign complete (August 2008); (8) Volunteer management system deployed to localities, Citizen Corps, Red Cross, etc. (September 2008)

Rough Order of Magnitude (ROM) Estimate of Cost	$3M to $6M

ROM Cost Estimate Assumptions

Costs will be incurred over 14 months in FY07. Cost estimates related to civic involvement participation projects only. No recurring charges. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.

Types of Resources and Investments

Number and cost of FTEs required not defined, except for 10 FTEs with background in civic involvement campaigns. Volunteer Management Across the NCR, Related programs and projects: Citizen Corp Council and 5D Volunteer Grants Program.

Time-frame:	Early stage FY07	*Initiative Lead:*	R-ESF #16 Donations and Volunteer Management

Performance Assessment

Measure	*Baseline*	*Target*
Percent of population that has taken steps to develop personal preparedness plan (by survey)	[Value from Campaign Survey]	Data to be available by April 2007
Percent of population familiar with their workplace, school, and community emergency plans (by survey)	Data to be available by April 2007	95% by 2010
Number of registered volunteers in specific organizations in the NCR	Data to be available by September 2006	
Average hours of training per volunteer	Data to be available by April 2007	

Table A-6—Goal 3 (Prevention & Protection)

PREVENTION & PROTECTION			
Goal 3: An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events			
Objective 3.1: Develop and maintain common regional standards for planning, equipping, training, operating, and exercising			
Initiative 3.1.1: Develop a prevention and mitigation framework for the region			**PRIORITY**
Initiative Description			
Develop a document that explains the NCR's approach to prevention and mitigation of all-hazards events, which is closely linked to existing national preparedness frameworks and can be used for determining funding priorities within jurisdictions.			
Rationale			*Desired Result*
Addresses the *TCL* **Planning** capability and EMAP standards related to **Planning**. Addresses Regional gaps regarding **Regional Mitigation Plan** and **Resource Management and Prioritization**.			Consistency and comprehensiveness in prevention and mitigation planning across the Region
Key Tasks and Programs		*Milestones*	
▸Identify prevention and mitigation roles and responsibilities among the NCR Partners ▸Identify communication channels among the NCR Partners ▸Inventory existing prevention and mitigation plans ▸Develop communications and planning structures ▸Develop a resourcing strategy ▸Produce framework document		(1) Existing communication channels documented (November 2006); (2) NCR jurisdictions buy in to Regional prevention/mitigation framework (January 2007); (3) List of NCR Partners with a role in prevention/mitigation completed (March 2007); (4) List of existing prevention/mitigation plans completed (April 2007); (5) Prevention/mitigation planning document published (June 2007); (6) Prevention and mitigation plan successfully implemented in exercises and real world incidents (August 2007); (7) Prevention and mitigation plan actually used to determine funding priorities (September 2007)	
Rough Order of Magnitude (ROM) Estimate of Cost			$380K to $420K
ROM Cost Estimate Assumptions			
Cost will occur over 12-month period, FY07. ROM cost has not been risk adjusted. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.			
Types of Resources and Investments			
Number and cost of FTEs required not defined. R-ESF #14: long-term community recovery and mitigation added to all NCR Emergency Operations and coordination plans.			
Timeframe:	Middle stage (FY 07)	*Initiative Lead:*	R-ESF #5 Emergency Management
Performance Assessment			
Measure		*Baseline*	*Target*
Average relevance rating of prevention and mitigation framework (as assessed by jurisdictional POCs and NCR prevention/mitigation partners)		0	Data to be available by Spring 2006
Percent of prevention and mitigation funds requested arising from prevention and mitigation plan		0	Data to be available by Fall 2006
Prevention and mitigation scores in exercises (and real events)		Data to be available by December 2006	

PREVENTION & PROTECTION			
Goal 3: An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events			
Objective 3.1: Develop and maintain common regional standards for planning, equipping, training, operating, and exercising			
Initiative 3.1.2: Develop a synchronized and integrated training and exercise framework, with appropriate common standards			
Initiative Description			
Develop a framework for Regional training and exercises that ensures that: (1) exercises are coordinated and de-conflicted across the Region; and (2) responders are training to common, Region-wide standards.			
Rationale		***Desired Result***	
Addresses the EMAP standards related to **Training**.		Responders from different jurisdictions respond to events in a smoothly synchronized and coordinated fashion	
Key Tasks and Programs		***Milestones***	
▸Expand use of the Regional exercises calendar ▸Implement guidance for determining when exercises should be cross-jurisdictional ▸Develop a repository for training and exercise iterative learning and improvements ▸Establish a Regional training and exercises coordination group ▸Produce common functional standards ▸Market coordination mechanisms and standards to Regional players ▸Identify Regional stakeholders for NIMS, HSEEP, etc.		(1) Complete cross-jurisdictional exercise guidance (June 2007); (2) Establish coordination group (July 2007); (3) Produce common standards for each emergency function (September 2007); (4) Release training and exercise lessons learned repository (November 2007)	
Rough Order of Magnitude (ROM) Estimate of Cost	$1.5M to $3M		
ROM Cost Estimate Assumptions			
Cost will be incurred over 7-month period, FY07 through FY08. Curriculum and Scheduling only, 12 FTEs. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.			
Types of Resources and Investments			
Resource information not yet available.			
Time-frame:	Early to Middle stage (FY 07, 08)	***Initiative Lead:***	RPWG ETOP
Performance Assessment			
Measure		***Baseline***	***Target***
Number of coordinated cross-jurisdictional exercises		Data to be available by June 2007	
Percent of exercises in Region which are coordinated and cross-jurisdictional			
Training and exercise coordination scores/results			

PREVENTION & PROTECTION

Goal 3: An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events

Objective 3.1: Develop and maintain common regional standards for planning, equipping, training, operating, and exercising

Initiative 3.1.3: Develop and implement an integrated plan related to health surveillance, detection, and mitigation functions between NCR Partners

PRIORITY

Initiative Description

Develop a comprehensive plan that outlines the role of public health and health care institutions for disease surveillance, detection, and prevention. The plan will outline roles, responsibilities, and policy/law changes, as well as an implementation plan to achieve the Initiative.

Rationale	*Desired Result*
Addresses the *TCL* **Epidemiological Surveillance and Investigation, Isolation and Quarantine, Public Health Laboratory Testing, Medical Surge,** and **Mass Prophylaxis** capabilities. Addresses Regional gaps regarding **Mass Care**.	Health emergencies are prevented or detected early, response is quick and care is provided to all those affected

Key Tasks and Programs	*Milestones*
▸ Enhance mass prophylaxis and treatment capability ▸ Increase surge bed capacity/capability ▸ Ensure appropriate personal protective equipment and inoculations provided for first responders and healthcare providers ▸ Develop a system for patient tracking (including family reunification) ▸ Enhance disease surveillance through Essence 2 and BioShield programs ▸ Identify and address issues surrounding isolation, quarantine for people ▸ Ensure behavioral health surge capacity	(1) Identify the roles of the key NCR Partners (May 2007): (2) Coordinate preparedness funding for public health and health care institutions (June 2007); (3) Integrate public health and health care institutions monitoring and surveillance systems (September 2007); (4) Public health responders and health care institution providers have appropriate personal protective equipment (October 2007); (5) Complete the evaluation of the patient tracking pilot for the NCR (November 2007); (6) Develop a NCR strategic plan for public health and health care institutions (December 2007); (7) Implement the patient tracking system in the NCR (after completion of project and strategic, estimated time of delivery December 2010)

Rough Order of Magnitude (ROM) Estimate of Cost	$3M to $4M

ROM Cost Estimate Assumptions

Cost will be incurred over 8 months in FY07 and FY08. Maintenance and sustainment costs will occur in FY07 and FY08 for the ESSENCE System and network. CATI: Cost projections dependent on adapting protocols to dissimilar telecommunications networks. Maintenance and sustainment costs will occur in FY07 and FY08 for the ESSENCE System and network. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.

Types of Resources and Investments

Investment in (1) State-based network of surveillance sites for health risks and syndrome identification and tracking and (2) Computer Assisted Telephone Interview Capacity (CATI). (3) National Capital Region Syndromic Surveillance Network (existing project) - continue development of stand-alone ESSENCE system across DC, MD, and VA. Maintenance and add system functionality. Collaborating partners: JHU/APL, NCR Health Departments. (4) Regional Implementation of Computer Assisted Telephone Interview Capacity (CATI) across DC, MD, and VA: key personnel: 1 Principal, 366 hours @$125/hr., 1 Senior Editor, 1,090 hours @$55/hr., SMEs, 190 hours @ $75/hr.

Timeframe:	Early to Middle stage (FY 07, 08)	*Initiative Lead:*	RPWG Health

Performance Assessment

Measure	*Baseline* *Target*
Prevention–Prophylaxis capacity: combination of percent of specified desired levels such as available; doses, vulnerable population inoculated, etc.	Data to be available by December 2007
Early detection–Monitoring and surveillance test results	
Response time–health emergency exercise response timeliness scores	
Response/care adequacy–Mass care capacity: combination of percent of specified desired levels such as number of beds, available doses, etc.	
Patient tracking accuracy scores (by periodic audit)	

PREVENTION & PROTECTION

Goal 3: An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events

Objective 3.1: Develop and maintain common regional standards for planning, equipping, training, operating, and exercising

Initiative 3.1.4: Develop a community-wide campaign, focused primarily on prevention and deterrence

Initiative Description

Create a two-pronged Regional program, building upon existing activities, that: (1) prepares the business/industry community to recognize and report suspicious activity that may be related to terrorism; and (2) educates citizens and deters potential attacks through an information campaign.

Rationale	*Desired Result*
Addresses the *TCL* **Law Enforcement Investigation and Operations** capability. Addresses Regional gaps regarding **Regional Mitigation Plan** and **Public-Private Coordination**.	Public understands what constitutes suspicious behavior, knows how to report it, and is motivated to do so; Region is organized to capitalize on information so provided

Key Tasks and Programs	*Milestones*
▸ Explore the expansion of Operation TIPP (a Regional hotline number for business to report suspicious activity) ▸ Develop a database to track reports received through Operation TIPP ▸ Conduct a communications campaign to deter potential adversaries from attacking the NCR ▸ Conduct a citizen education campaign concerning identifying suspicious activity and how to report it	(1) "Critical mass" of NCR jurisdictions agree to implement Operation TIPP (June 2007); (2) Database goes live (July 2007); (3) Business community is informed of Operation TIPP (September 2007); (4) Communications and education campaign plans complete (October 2007); (5) Communications and education campaigns launch (November 2007)

Rough Order of Magnitude (ROM) Estimate of Cost	Minimum $5M

ROM Cost Estimate Assumptions

Cost will be incurred over 7-month period, FY07 through FY08. Multi channel, targeted campaign, 24 FTEs, media, print, broadcast, radio, internet, website, multiple contracts. Collaborative information-sharing networks will discover cost savings as integrated systems are used. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.

Types of Resources and Investments

Number and cost of FTEs required not defined. 4 Projects: 24 Hour staffing of HS Operations center (3rd shift), Water Utility Response Networks, Medical Service Packet Traveling System and Intelligence Analysis II.

Timeframe:	Early to Middle stage (FY 07, 08)	*Initiative Lead:*	R-ESF #13 Public Safety and Security

Performance Assessment

Measure	*Baseline*	*Target*
Number of local businesses participating in Operation TIPP	Data to be available by September 2007	
Number of reports received through Operation TIPP	Data to be available by June 2007	
Percent of test reports to Operation TIPP available in database	Data to be available by July 2007	
Percent of local population that understands suspicious activity reporting procedures (via survey)	Data to be available by October 2007	
Percent of businesses and citizens reporting suspicious activity in surreptitious tests		

PREVENTION & PROTECTION			
Goal 3: An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events			
Objective 3.2: Strengthen the exchange and analysis of information across disciplines for improved situational awareness			
Initiative 3.2.1: Develop common regional information-sharing and collaboration frameworks, to include determining roles, responsibilities and protocols			**PRIORITY**
Initiative Description			
Develop a system that allows for two-way communication flow between local, State, Regional, and Federal operations centers in the NCR, to ensure that useful information is passed to the appropriate people in a timely fashion.			
Rationale			***Desired Result***
Addresses the *TCL* **Information Gathering and Recognition of Indicators and Warning** capability. Addresses Regional gaps regarding **Regional Analysis of Threats**.			Effective timely flow of information between the various emergency centers; increased sharing of actionable intelligence
Key Tasks and Programs		***Milestones***	
▸ Identify the ops centers to be linked ▸ Define requirements and link collaboration systems ▸ Ensure contact information for each op center is accurate and consistently updated ▸ Develop and implement NCR notification protocols between all operation centers ▸ Establish formal information-sharing protocols ▸ Refine the intelligence dissemination process ▸ Develop standards, core competencies and certifications for watch/operations center personnel, and integrate into existing training		(1) 40% of key operations center personnel trained to a common standard (September 2006); (2) List of ops centers updated (November 2006); (3) Requirements for interoperable communications systems defined (December 2006); (4) 90% of key operations center personnel trained to a common standard (April 2007); (5) All identified ops centers have updated contact information included in a "pushed" web based system (August 2007); (6) All jurisdictions have roles, responsibilities, and updated contact information included in regional flow chart / working document (September 2007)	
Rough Order of Magnitude (ROM) Estimate of Cost			$11M to $15M
ROM Cost Estimate Assumptions			
Cost will be incurred over a 14-month period, FY06, FY07, and FY08. Collaborative information-sharing networks will discover cost savings as integrated systems are used. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.			
Types of Resources and Investments			
Number and cost of FTEs required not defined. 4 Projects: 24-Hour staffing of HS Operations center (3rd shift), Water Utility Response Networks, Medical Service Packet Traveling System and Intelligence Analysis II.			
Timeframe:	Early stage (FY 07)	***Initiative Lead:***	R-ESF #13 Public Safety and Security and Fusion Center
Performance Assessment			
Measure		***Baseline***	***Target***
Results of tests and exercises designed to determine staff ability to accurately and timely deliver and obtain necessary information in pre-determined scenarios		Data to be available by September 2007	
Utilization/traffic rates for collaboration and information-sharing systems		0	Data to be available by September 2007

PREVENTION & PROTECTION

Goal 3: An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events

Objective 3.2: Strengthen the exchange and analysis of information across disciplines for improved situational awareness

Initiative 3.2.2: Ensure that each jurisdiction has appropriate people cleared to receive, analyze, and act on sensitive and classified information

Initiative Description

Ensure that each local jurisdiction has staff appropriately cleared to access classified data in order to eliminate restrictions on receiving necessary information due to lack of security clearances.

Rationale	*Desired Result*
Addresses the *TCL* **Intelligence Analysis and Production** capability. Additionally, this Initiative is vital to achieving the desired results of other information-sharing Initiatives under Objective 3.2. Addresses Regional gaps regarding **Regional Analysis of Threats**.	Effective timely flow of information between the various emergency centers; increased sharing of actionable intelligence

Key Tasks and Programs	*Milestones*
▸ Inventory state and local staff clearances ▸ Increase background check capacity ▸ Arrange to use current employment background checks for clearance authorizations ▸ Coordinate between DHS and DoD to clear blocks of personnel annually ▸ Implement training for personnel on physical, industrial, communications, and information security	(1) Complete inventory of existing clearances (September 2006); (2) Identify overall and remaining need for new clearances (October 2006); (3) Complete application for 50% of new clearances (October 2007); (4) Determine current clearance processing rate (February 2007); (5) Complete application for all remaining new clearances (March 2007); (6) Implement measures to double clearance processing rate (April 2007); (7) 20% of new clearances received (April 2007); (8) 50% of new clearances received (June 2007); (9) 80% of new clearances received (August 2007); (10) All new clearances received (September 2007)
Rough Order of Magnitude (ROM) Estimate of Cost	Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG.

ROM Cost Estimate Assumptions

Cost will be incurred over a 15-month period, FY06 and FY07. To receive clearance and maintain/renew/upgrade existing clearances. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only.

Note: Once personnel requiring immediate clearances are identified, DoD clearance costs can be used as a starting point for ROM estimates. Performing a background check for DoD *Secret* level clearance costs approximately $2K to expedite and approximately $2.5K for the background investigation per person ($4.5K to 5K per person for new DoD Secret clearance). DoD Top Secret clearance costs approximately $3.5K for the background investigation, in addition to the cost to expedite per person ($5.5K to $6K for new Top Secret Clearance). The DoD cost example reflects a standard, high-volume clearance process. Maintenance and upgrade of clearances vary by status, type, and level of background check needed to clear personnel to the appropriate level of security classification. The internal cost of clearance will vary by NCR jurisdiction based upon the types and level of federal agency clearance required.

Types of Resources and Investments

Resource information not yet available.

Time-frame:	Early stage (FY 06, 07)	*Initiative Lead:*	R-ESF #13 Public Safety and Security

Performance Assessment

Measure	*Baseline*	*Target*
Percent of required staff clearances received	Data to be available by October 2006	100% by September 2007
Number of information security issues during tests (information protection violations, problems or delays)	Data to be available by March 2007	Data to be available by March 2007

PREVENTION & PROTECTION			
Goal 3: An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events			
Objective 3.3: Employ a performance- and risk-based approach to critical infrastructure protection across the NCR			
Initiative 3.3.1: Conduct a prioritization of recommended high priority CIP protective and resiliency actions based on security assessment findings already completed and shared with the NCR			**PRIORITY**
Initiative Description			
Create a high priority list of recommended critical infrastructure protective actions that will reduce the vulnerability, threat, and impact to key NCR CI sectors based on analysis/assessments already conducted at the Federal, State, Regional, local level, including the private sector.			
Rationale			***Desired Result***
Part of a series of two CI Initiatives (3.3.1 and 3.3.2) that addresses the TCL **Critical Infrastructure Protection** capability. Addresses Regional gaps regarding **Inclusion of Private Sector in Regional Planning** and **Public-Private Coordination**			Reduced risk to critical infrastructure
Key Tasks and Programs		***Milestones***	
▸Establish and broaden CI RPWG to oversee initiative ▸Inventory existing Regional CIP assessments ▸Compile recommended CIP actions		(1) CIP group governance (including structure) approved (May 2006); (2) Inventory of existing CIP assessments completed (January 2007); (3) Initial list compiled for UASI 2006 (next refinement of list will occur for UASI 2007) (February 2007)	
Rough Order of Magnitude (ROM) Estimate of Cost:		$5M to $15M	
ROM Cost Estimate Assumptions			
Costs will be incurred over 9-month period, FY06 and FY07. Includes costs for implementing a limited list of high priority protective measures, on yearly basis. Effort will involve time and integration/coordination of efforts for multiple FTEs to research and compile assessment findings. Related projects fulfill other CIP related capability planning activities outside of the catalog of CIP assessments. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.			
Types of Resources and Investments			
Assessment compilation and analysis. Number and cost of FTEs required not defined. Highlights of related Concept Papers and programs developed by NCR RPWGs for FY06 UASI included: NCR Critical Infrastructure Resiliency Program (ROM 20M); MATA Alternate Operations Control Center; Critical Transportation Infrastructure Protection Assessments; Critical Infrastructure Monitoring and Protection; Expansion; Establishment and Operation of the Water Security Monitoring Network in the NCR; PipelineNet Water Distribution System Model Development for Water Utilities in the NCR; Clean, Reliable Back-up Portable Generation for Critical Infrastructures within the NCR; Rapid Response Mobile Transformer; Increasing Emergency Generation Reliability and Capability in the NCR.			
Timeframe:	Early stage (FY 06, 07)	***Initiative Lead:***	RPWG CIP
Performance Assessment			
Measure		***Baseline***	***Target***
Number of catalogued CIP actions taken		0	Data to be available by November 2007
CI risk reduction from actions taken		0	
Number of listed CI assets with additional protection completed		0	

PREVENTION & PROTECTION			
Goal 3: An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events			
Objective 3.3: Employ a performance- and risk-based approach to critical infrastructure protection across the NCR			
Initiative 3.3.2: Create an inventory of critical infrastructure (CI/KR) assets, develop a common methodology for assessing CI/KR risk across the NCR, and recommend initial protective and resiliency actions			
Initiative Description			
Establish measures and actions that will improve the NCR's approach to critical infrastructure protection in a comprehensive and consistent process throughout the Region.			
Rationale		***Desired Result***	
Part of a series of two Initiatives (3.3.1, 3.3.2) that addresses the TCL **Critical Infrastructure Protection** capability. Addresses Regional gaps regarding **Inclusion of Private Sector in Regional Planning** and **Public-Private Coordination**.		Reduced risk to critical infrastructure	
Key Tasks and Programs		***Milestones***	
▸Establish and broaden CI RPWG to oversee initiative ▸Inventory of CI assets in the NCR ▸Define scope of task and requirements for common methodology ▸Survey applicable existing approaches ▸Document selected approach ▸Ratify new approach across NCR		(1) CIP group governance (including structure) approved (April 2006); (2) Inventory of CI assets (April 2007); (3) Scope and requirements document completed (April 2007); (4) New approach deliverable complete (January 2008); (5) CIP governance group ratifies new approach (April 2008)	
Rough Order of Magnitude (ROM) Estimate of Cost		$1M to $2M	
ROM Cost Estimate Assumptions			
Costs will be incurred over 24-month period in FY07 and FY08. Initiative is limited to asset list development and integration of risk and performance-based approaches, not implementation. Cost for integration of risk assessment processes will be dependent upon the complexity and automation of the risk process and management toolset. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.			
Types of Resources and Investments			
Number and cost of FTEs required not defined. Resource information not yet available.			
Time-frame:	Early and Middle stage (FY 07-08)	***Initiative Lead:***	RPWG CIP
Performance Assessment			
Measure		***Baseline***	***Target***
Estimated CI risk reduction from recommended actions		0	Data to be available by July 2007
Number of new CIP actions recommended		0	Data to be available by July 2007
Number of infrastructures protected by recommended actions		0	Data to be available by July 2007

Table A-7—Goal 4 (Response & Recovery)

RESPONSE & RECOVERY	
Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR	
Objective 4.1: Develop and implement integrated response and recovery plans, policies, and standards	
Initiative 4.1.1: Establish a corrective action program to modify plans by addressing gaps identified in analyses, exercises, and events	**PRIORITY**
Initiative Description	
Modify existing response and recovery plans, or develop new ones where necessary, to address gaps identified during exercises, real-world events, and the gap analysis conducted as part of Goal One.	
Rationale	***Desired Result***
This Initiative follows up on the risk-based threat analysis conducted under Initiative 1.2.1. Addresses the EMAP standards related to **Operations and Procedures** and **Exercises, Evaluations and Corrective Actions**. Addresses Regional gaps regarding **Regional Analysis of Threats** and **Resource Management and Prioritization**.	Broad participation across Region in proposing experience-based modifications to the full scope of Regional plans
Key Tasks and Programs	***Milestones***
▸Define corrective action program ▸Test program via application to EMAP and CPX after action report ▸Identify other existing documentation and experience for application ▸Plan and implement "live pilot" of new program to identified near-term training and exercises ▸Promote utilization of new program throughout the Region	(1) Charter a working group to develop program (January 2007); (2) Corrective action program plan accepted by NCR governance (March 2007); (3) Past experiences for retroactive application of new program identified (March 2007); (4) Plan modifications based on application of new program to identified experiences are proposed for acceptance (April 2007); (5) Plan modifications based on two-month "live pilot" of new program are proposed for acceptance (May 2007)
Rough Order of Magnitude (ROM) Estimate of Cost	$750K to $1M
ROM Cost Estimate Assumptions	
Cost is incurred over a 5-month period, FY07 during the After Action Report (AAR) gap analysis process and development. AAR process accurate indicator of capability gaps. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.	
Types of Resources and Investments	
Number and cost of FTEs required not defined. Corrective Action Program from related training, exercise and incident management feedback. Dependent on AARs.	
Timeframe: Early stage (FY 07)	***Initiative Lead:*** RPWG ETOP
Performance Assessment	
Measure	***Baseline*** / ***Target***
Number of submitters	Data to be available by March 2007
Number of jurisdictions submitting	
Number of experiences/events generating proposed modifications	
Number of plans affected by submitted proposed modifications	

RESPONSE & RECOVERY

Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR

Objective 4.1: Develop and implement integrated response and recovery plans, policies, and standards

Initiative 4.1.2: Align and integrate response plans across jurisdictions (including Federal partners), with emphasis on continuity of government, operations, and evacuation

Initiative Description

Ensure coordination and consistency of response plans among Regional jurisdictions and between the Region and the Federal government. Particular emphasis should fall on alignment of plans for response operations, evacuation, and continuity of government and operations.

Rationale	Desired Result
Addresses the *TCL* **Citizen Protection: Evacuation and/or In-place Protection** capability and EMAP standards related to **Planning, Direction Control and Coordination,** and **Operations and Procedures**.	All jurisdictions and NCR Partners have necessary response plans which will facilitate smooth and coordinated response in an emergency

Key Tasks and Programs	Milestones
▸ Integrate response plans by R-ESF across jurisdictions (horizontal) ▸ Integrate response plans across R-ESFs within subsidiary and superior jurisdictions (vertical) ▸ Map capabilities against the 15 DHS scenarios. ▸ Persuade the private and non-profit sectors to align with NCR response plans ▸ Develop a directory of people and capabilities (management and responder) ▸ Review and coordinate continuity of operations plans (COOP), continuity of government (COG) plans, and evacuation plans ▸ Develop new plans for the Partners where needed ▸ Ensure sufficient plans are in place for taking care of special needs populations ▸ Ensure sufficient plans are in place to provide for animal protection and care ▸ Ensure appropriate plans are in place for feeding and shelter/housing in response and recovery from disasters	(1) Complete horizontal integration of plans (November 2006); (2) Complete vertical integration of plans (December 2006); (3) Capabilities mapped against the 15 DHS scenarios (December 2006); (4) Private and non-profit sectors incorporated and aligned with NCR plans (January 2007); (5) Resource directory developed (January 2007); (6) All jurisdictions and major agencies have continuity plans (February 2007); (7) All jurisdictions and major agencies complete first test of continuity plans (March 2007); (8) Conduct a Regional continuity exercise with multiple federal agencies (March 2007)

Rough Order of Magnitude (ROM) Estimate of Cost	Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments, and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG. First 5-6 months sizing study $1.5M to $2M.

ROM Cost Estimate Assumptions

Cost will be incurred over a 6-month period in FY07. Full alignment and integration would cost at a minimum $10M. To do this State, local, and Federal entities need to commit staff resources to complete Initiative. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.

Types of Resources and Investments

Resource information not yet available.

Timeframe:	Early stage (FY 07)	Initiative Lead:	R-ESF #5 Emergency Management

Performance Assessment

Measure	Baseline	Target
Continuity plan test results	Data to be available by November 2006	
Emergency response exercise test results		
Number of private and non-profit organizations aligned with NCR response plans		
Continuity tests and exercises conducted per year within the NCR		

RESPONSE & RECOVERY

Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR

Objective 4.1: Develop and implement integrated response and recovery plans, policies, and standards

Initiative 4.1.3: Define capabilities and expectations for decontamination and re-entry

Initiative Description

Develop a Region-wide defined set of standards and protocols for decontamination response and recovery of physical facilities, the environment, and human beings, to be included in all relevant Regional response plans.

Rationale	Desired Result
Addresses the *TCL* **WMD/Hazardous Materials Response and Decontamination** and **Structural Damage and Mitigation** capabilities and EMAP standards related to **Operations and Procedures**. Addresses Regional gaps regarding **Understanding of Long-Term Recovery Issues.**	Regional responders know how to deal effectively and efficiently with the full range of decontamination response and the recovery of physical facilities.

Key Tasks and Programs	Milestones
▸ Catalog existing decontamination capabilities across the NCR ▸ Identify and address issues surrounding area decontamination for the recovery of facilities, soil, water, etc. ▸ Identify and address issues surrounding transition of people from decontamination to medical care and Mass Care ▸ Develop measures for incorporating decontamination plans, policies, and standards into Regional operations ▸ Develop plans for the recovery of contaminated facilities	(1) Establish working group to identify issues surrounding decontamination, segregation and quarantine (July 2006); (2) Standards for decontamination and re-entry defined (August 2006); (3) Plans and protocols to support these standards defined (September 2006); (4) Regional decontamination concept plan approved (October 2006)

Rough Order of Magnitude (ROM) Estimate of Cost	Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments, and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG. Response and Recovery Plan Development: $3M to $5M.

ROM Cost Estimate Assumptions

Cost will be incurred over 4-month duration, FY06 through FY07. Separate plans for response and recovery agenda, standards, and protocols ($1.5 to $2.5M each). *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.

Types of Resources and Investments

Resource information not yet available.

Time-frame:	Early stage (FY 06, 07)	Initiative Lead:	R-ESF #5 Emergency Management

Performance Assessment

Measure	Baseline	Target
Number of changes to Regional plans and procedures adopted due to this Initiative	0	Data to be available by August 2006
Test and exercise results on decontamination timeliness and effectiveness	Data to be available by October 2006	
Average score of targeted individuals' written tests on decontamination procedures		

RESPONSE & RECOVERY			
Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR			
Objective 4.2: Strengthen all components of an integrated region wide response and recovery capability			
Initiative 4.2.1: Develop coordinated and standardized protocols for mandatory notification of regional partners during an emerging incident to maintain situational awareness			**PRIORITY**
Initiative Description			
Develop and support standards for near real-time sharing of critical data, information, and intelligence necessary to respond to and recover from threats and events affecting the Region.			
Rationale		***Desired Result***	
Addresses the *TCL* **Communications** and **Emergency Operations Center Management** capabilities and EMAP standards related to **Communications and Warning**. Addresses Regional gaps regarding **Standardized Alert Notification Procedures**.		Near real time information-sharing of critical elements of information necessary to respond to and recover from threats and events affecting the Region	
Key Tasks and Programs	***Milestones***		
▸Develop an agreed definition of a reportable incident ▸Develop standardized mechanisms and protocols for mandatory and timely reporting of incidents, information and intelligence ▸Place all Emergency Operations Centers which interact with the Region on an integrated, Region-wide virtual network (see 3.2.1 for details and costs) ▸Create Liaison Officers which will be cycled among all entities	(1) Protocols developed for effective information-sharing on Regional calls during an event (August 2006); (2) Definition agreed for reportable incident/information (October 2006); (3) MOU executed to mandate sharing of appropriate incident and/or threat information (November 2006); (4) Virtual network identified for information-sharing to supplement or replace conference calls (January 2007); (5) ELOs identified for all NCR Partners and rotation and visit plan implemented (January 2007); (6) Requirement implemented for use of virtual information-sharing network by all Regionally-interacting EOCs (March 2007)		
Rough Order of Magnitude (ROM) Estimate of Cost		$1M to $2M	
ROM Cost Estimate Assumptions			
Cost incurred over an 8-month period, FY06 through FY07 for design and validation protocols. Overlaps with 2.1.1 element Establish Emergency System of Systems. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.			
Types of Resources and Investments			
Investment: system design of protocols over 18 months, FY06 and FY07 budget. Number and cost of FTEs required not defined. NCR Traveler Notification Program. Collaborating partners: Maryland Department of Transportation (MDOT), MWCOG, Virginia Department of Transportation (VDOT), District of Columbia Department of Transportation (DDOT), Contractor. Related NCR Concept papers: NCR Multimodal Traveler Information System: Collaborating partners: MDOT, MWCOG, VDOT, DDOT, Contractor; Regional Real Time Transit Customer Information System, Reverse 911/ Mass Notification: collaborating partners: Montgomery County Transit and Regional Transit Operators, contractor/consultants for 6 months, FY06. Relationship between capabilities listed in concept papers and Initiative projects not defined.			
Timeframe: Early stage (FY 06, 07)		***Initiative Lead:*** DHS / NCRC	
Performance Assessment			
Measure		***Baseline***	***Target***
Results of tests and exercises designed to determine staff ability to accurately and timely deliver and obtain mandatory notifications in pre-determined scenarios: compliance accuracy and timeliness scores by monitoring, participants' satisfaction with level of information by survey, etc.		Data to be available by November 2006	
Total minutes of inter-jurisdictional EOC conference calls during events		Data to be available by March 2007	

RESPONSE & RECOVERY			
Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR			
Objective 4.2: Strengthen all components of an integrated region wide response and recovery capability			
Initiative 4.2.2: Develop and implement a plan for regionally coordinated adoption and employment of National Incident Management System (NIMS)			
Initiative Description			
Develop and implement a framework to incorporate NIMS into jurisdictional and Regional Emergency Operations Plans. This framework should include all NCR Partners and not be limited to direct public safety personnel.			
Rationale		***Desired Result***	
Addresses the *TCL* **Onsite Incident Management** capability and EMAP standards related to **Division, Control, and Coordination**.		All NCR Partners are able to respond in a coordinated and effective manner to any hazard	
Key Tasks and Programs		***Milestones***	
▸Develop and implement a NIMS implementation time table ▸Develop and implement processes based on NIMS principles to be used by all NCR jurisdictions when providing or receiving assistance within the NCR ▸Develop and implement a NIMS operating plan for use in the NCR as a component of mutual aid agreements ▸Develop plans for providing housing, food and care for first responders and their families during the event of an emergency ▸Ensure adequate mass care resources for feeding and shelter/housing in response and recovery from disasters ▸ Ensure that all key NCR Homeland Security Partners are accounted for within the NCR's NIMS framework		(1) NIMS implementation time table completed (December 2006); (2) Processes established to be used by all NCR jurisdictions when providing or receiving assistance within the NCR(April 2007); (3) NCR NIMS operating plan in place as a component of mutual aid agreements (September 2007)	
Rough Order of Magnitude (ROM) Estimate of Cost	Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments, and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG. Plan development ROM: $1.5M to $3M.		
ROM Cost Estimate Assumptions			
Cost incurred over 12-month period, FY07. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.			
Types of Resources and Investments			
Resource information not yet available.			
Time-frame:	Early stage (FY 07)	***Initiative Lead:***	R-ESF #4 Firefighting
Performance Assessment			
Measure		***Baseline***	***Target***
Regional compliance with NIMS principles and standards (external audit or assessment of plans)		Data to be available by December 2006	
Results of tests and exercises designed to assess Regional incident management practices and capabilities			

RESPONSE & RECOVERY

Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR

Objective 4.2: Strengthen all components of an integrated region wide response and recovery capability

Initiative 4.2.3: Develop and implement enhanced regional architecture, infrastructure, and concept of operations for communications and protection of sensitive and classified information

Initiative Description

Develop and implement infrastructure, technology, processes, and governance to strengthen Regional data and information interoperability. Establish technical connectivity, protocols, and standards to ensure protection of sensitive and classified information. In addition to response and recovery, this initiative supports Goal Three (Prevention & Protection) and Objective 3.2.

Rationale	*Desired Result*
Addresses the *TCL* **Communications** and **Information Sharing and Dissemination** capabilities and EMAP standards related to **Communications and Warning**. Addresses Regional gaps regarding **Regional Analysis of Threats**.	Effective timely flow of relevant information before, during, and after emergency events.

Key Tasks and Programs	*Milestones*
▸Develop and adopt a Regional governance model to ensure that critical information is made available through this Initiative ▸Determine the critical data sets and applications required ▸Resource the NCR watch center desk at the HSOC to disseminate actual information ▸Determine changes needed to NCR Emergency Operation Centers (EOCs) to make them interoperable ▸Match 800 MHz radio systems within the NCR ▸Obtain a conference bridging capability between EOCs ▸Implement WebEOC data information exchange at local, regional, and NCR levels ▸Design and implement a Data Exchange Hub (DEH) and information portal through which critical data and applications are shared ▸Establish VTC links between EOCs ▸Design and implement NCR government fiber networks for connection and interoperability with State and Federal systems ▸Design and implement a Regional Broadband Mobile Data Network (RBMDN) ▸Purchase satellite telephones for each of the jurisdictions in the NCR ▸Ensure systems are built to Federal information and communications standards, with the proper level of security	(1) Information distribution governance model adopted (September 2006); (2) Data sets and applications to be integrated determined (November 2006); (3) HSOC NCR watch center desk operational (February 2007); (4) EOC interoperability modifications specified (May 2007); (5) NCR 800 MHz radio systems matched (July 2007); (6) EOC conference bridging capability established (July 2007); (7) WebEOC data exchange implemented (August 2007); (8) DEH design complete (September 2007); (9) VTC installed in all NCR EOCs (October 2007); (10) Fiber network design complete (November 2007); (11) RBMDN design complete (December 2007); (12) Satellite telephones acquired (February 2008); (13) DEH operational (September 2008); (14) Fiber networks operational (November 2008); (15) RBMDN operational (December 2008)

Rough Order of Magnitude (ROM) Estimate of Cost	Remainder of Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments, and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG. Architecture and Concept of Operations Development: $3M to $5M.

ROM Cost Estimate Assumptions

Costs will be incurred over 28 months in FY06 and FY07. Work is currently underway. Number of FTEs required not defined. Overlaps and dependent upon 2.1.1 Establish Regional protocols and systems. 1.2.2 Establish requirements generation and a prioritization process and will impact level of effort and timeline. Core work group have been trained and have experience in interoperable communications. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.

Types of Resources and Investments

Number of FTEs required not defined. Standards setting, Con Ops, and interoperable communications architecture for interoperable communications.

Timeframe:	Early stage (FY 06, 07)	*Initiative Lead:*	RPWG Interoperability

Performance Assessment	
Measure	*Baseline* *Target*
Results of tests and exercises designed to determine staff ability to accurately and timely deliver and obtain necessary information in pre-determined scenarios: Information availability and timeliness scores by monitoring participants' satisfaction with information availability by survey, etc.	Data to be available by May 2007
Percent of designated networks by aggregate capacity which conform to the common standard for interoperability	Data to be available by May 2007
Percent of designated networks by aggregate capacity which conform to the common standard for information security	Data to be available by May 2007

RESPONSE & RECOVERY

Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR

Objective 4.3: Improve and expand effective resource sharing systems and standards

Initiative 4.3.1: Develop a regional resource management system for deployment and utilization of resources

Initiative Description

Develop and implement a system for real-time, Region-wide management and deployment of resources during an emergency event.

Rationale	*Desired Result*
Addresses the *TCL* **Critical Resources Logistics and Distribution, Triage and Pre-Hospital Treatment,** and **Medical Supplies Management and Distribution** capabilities and EMAP standards related to **Resource Management** and **Logistics and Facilities.** Addresses Regional gaps regarding **Mass Care, Special Needs Considerations,** and **Resource Management and Prioritization**.	Identified multi-disciplinary and multi-jurisdictional resource needs during an event are filled rapidly

Key Tasks and Programs	*Milestones*
▸Catalog public and private resources in Region including MOUs, physical equipment, and other caches (without double-counting) ▸Identify and leverage existing inventory systems (Hospital beds, stockpiles, etc.) ▸Ensure sufficient plans and resources for taking care of special needs populations ▸Provide for animal protection and care ▸Establish protocols within the context of Mutual Aid agreements for requesting and receiving resources via the resource system ▸Establish a dynamic inventory system that indicates resource status ▸Link Regional resource inventory system to WebEOC	(1) Resource catalog complete (July 2006): (2) Existing resource inventory systems profiled October (2006): (3) Protocols adopted for sharing resources via the new system (December 2006); (4) New system requirements documented (February 2007); (5) Static demo of new system delivered for evaluation (March 2007); (6) Live, WebEOC-linked system delivered (April 2007)

Rough Order of Magnitude (ROM) Estimate of Cost	Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments, and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG. Minimum $10M.

ROM Cost Estimate Assumptions

Cost incurred over 10 months between FY06 and FY07. Build from current software and resident databases developed. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.

Types of Resources and Investments

Resource information not yet available.

Time-frame:	Early stage (FY 06, 07)	*Initiative Lead:*	R-ESF #5 Emergency Management

Performance Assessment

Measure	*Baseline*	*Target*
Completeness of inventory (via audit)	Data to be available by March 2007	
Accuracy of listed resource status (via audit)		
Time required to find, request, receive, and dispatch resources via system (training, test/exercise, and event data)		

RESPONSE & RECOVERY

Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR

Objective 4.3: Improve and expand effective resource sharing systems and standards

Initiative 4.3.2: Establish and implement regional, interdisciplinary protocols (e.g., mutual aid agreements)

Initiative Description

Engage COG to develop Mutual Aid agreements and other protocols to allow the expansion of a Regional resource management program, which includes the stakeholders from the private sector and from outside the NCR, where appropriate.

Rationale	*Desired Result*
Addresses the *TCL* **Public Safety and Security, Environmental Health, Explosive Devices Response Operations, Firefighting Operations/Support**, and **Urban Search and Rescue** capabilities by implementing Regional protocols for sharing for resources in the event of an emergency. Also addresses EMAP standards related to **Mutual Aid**.	Provide emergency response reserve capacity to NCR members without additional investment

Key Tasks and Programs	*Milestones*
▸Identify types of resources subject to sharing ▸Define circumstances under which sharing will be implemented ▸Document terms of sharing ▸Draft procedures for requesting resource loans and for delivering resources ▸Execute sharing agreement	(1) Types of resources targeted for sharing identified (October 2006); (2) Proposed circumstances triggering resource sharing drafted (December 2006); (3) First draft of proposed agreement released (February 2007); (4) Final agreement adopted (September 2007)

Rough Order of Magnitude (ROM) Estimate of Cost	Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG. Minimum $5M.

ROM Cost Estimate Assumptions

Cost will be incurred over 12-month period during FY07. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.

Types of Resources and Investments

Resource information not yet available.

Time-frame:	Early stage (FY 07)	*Initiative Lead:*	R-ESF #5 Emergency Management

Performance Assessment

Measure	*Baseline*	*Target*
Percent of targeted resource types owned by NCR entities which is subject to sharing agreement	Data to be available by November 2006	

RESPONSE & RECOVERY

Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR

Objective 4.3: Improve and expand effective resource sharing systems and standards

Initiative 4.3.3: Establish and implement regional, interdisciplinary standards for equipment interoperability

Initiative Description

Develop a common set of Regional standards for equipment interoperability to facilitate flexible deployment of resources in the event of an emergency.

Rationale	*Desired Result*
Addresses the *TCL* **Public Safety and Security, Explosive Devices Response Operations, Firefighting Operations/Support**, and **Urban Search and Rescue** capabilities by implementing Regional standards equipment interoperability. Also addresses EMAP standards related to **Communications and Warning**.	Technical and functional barriers to resource-sharing are eliminated

Key Tasks and Programs	*Milestones*
▸Identify types of resources subject to sharing (see 4.3.2) ▸Identify technical/functional features that can limit interoperability and non-interoperable specification types for each feature ▸Inventory existing resources against resource types, and interoperability feature specifications type (see 4.3.1) ▸Collect technical data and user input on varying interoperability feature specification types ▸Draft interoperability standards ▸Review draft with equipment users and revise accordingly ▸Obtain NCR governance acceptance of final standards	(1) Catalog shared resource types (November 2006); (2) Identify interoperability issues and options (January 2007); (3) Characterize existing resource base according to interoperability issues and options (February 2007); (4) Gather data on selection factors for various options (April 2007); (5) Draft proposed interoperability standards (May 2007); (6) Revised draft completed (July 2007); (7) Standards adopted (September 2007)

Rough Order of Magnitude (ROM) Estimate of Cost	Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG. Assessment $1.5 to $3M.

ROM Cost Estimate Assumptions

Cost will be incurred over 13-month period during FY07. Task: identify types of resources, equipment required for interoperation, and current inventory. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.

Types of Resources and Investments

Resource information not yet available.

Time-frame:	Early stage (FY 07)	*Initiative Lead:*	R-ESF #5 Emergency Management

Performance Assessment

Measure	*Baseline*	*Target*
Equipment interoperability rates (via audit) – percent of relevant equipment reviewed that complies with the interoperability standards	Data to be available by February 2007	
Interoperability issues identified via tests and exercises (number per event)		

RESPONSE & RECOVERY			
Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR			
Objective 4.4: Identify and close gaps in long-term recovery capabilities			
Initiative 4.4.1: Model and exercise the appropriate 15 DHS scenarios to assess region-wide impact			**PRIORITY**
Initiative Description			
Conduct Regional models and exercises of the 15 DHS scenarios (and other high-threat scenarios, where appropriate) to examine impact on the NCR, as well as ways to mitigate the impact or accelerate Regional recovery.			
Rationale			***Desired Result***
Addresses the EMAP standards related to **Exercises, Evaluations and Corrective Actions**. Addresses Regional gaps regarding **Regional Analysis of Threats** and **Understanding of Long-Term Recovery Issues**.			Identify most significant recovery challenges for which to prepare
Key Tasks and Programs		***Milestones***	
▸Model economic impact –Socio-economic, Business, and Employees ▸Model long term impact on Health and Mental Health - Responders, directly impacted individuals, and the general public ▸Model long term impact of clean-up and re-entry to potentially contaminated areas ▸Model potential impact mitigations and recovery acceleration measures for each scenario		(1) Models available for all major scenarios to improve planning, response and recovery potential for these scenarios (Fall 2006); (2) Results of models reflected in exercises and live operations (By Fall 2007); (3) Long term preparedness policies, plans, resources, operations, activities in the NCR refined to reflect model outputs (Fall 2008); (4) Results of refinements to plans and preparedness activities reflected in improvements to exercise and operations after actions reports (Fall 2008)	
Rough Order of Magnitude (ROM) Estimate of Cost			$7M to $9M
ROM Cost Estimate Assumptions			
Cost will be incurred over 26-month period, FY06 through FY08, primarily for ETOP and WMD training and exercises. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.			
Types of Resources and Investments			
Number and cost of FTEs required not defined. Development of training exercise curriculum against 15 DHS scenarios and actual training/exercises FY06-FY08. Number of FTEs required not defined. Related projects: Exercise and Training Operations Program (ETOP), Training and exercise for Fire and EMS Responders. Related NCR RPWG Concept Paper: WMD Operations (Offensive Training).			
Time-frame:	Early and Middle stages (FY 07, 08)	***Initiative Lead:***	R-ESF #14 Long Term Community Recovery and Mitigation
Performance Assessment			
Measure		***Baseline***	***Target***
Percent reduction in modeled impacts due to identified mitigations and recovery measures		0	Data to be available by Fall 2007

RESPONSE & RECOVERY			
Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR			
Objective 4.4: Identify and close gaps in long-term recovery capabilities			
Initiative 4.4.2: Align public, private, and NGO resources with identified needs for response and recovery			
Initiative Description			
Create a document identifying the key roles that NGOs play in response and recovery operations, according to local, State, Regional, and Federal plans.			
Rationale		***Desired Result***	
Addresses the *TCL* **Mass Care** capability. Addresses Regional gaps regarding **Inclusion of the Private Sector in Regional Planning**, **Public-Private Coordination**, and **Resource Management and Prioritization**.		Additional resources applied to response and recovery	
Key Tasks and Programs		***Milestones***	
▸ Identity roles as defined in local, Regional, State/District Emergency Operations Plans (EOPs) ▸ Identify roles as defined by NGO community ▸ Compare contrast and reconcile the EOPs vs. the NGO plans to comprehensively identify NGO roles in response and recovery ▸ Include NGOs in major Regional exercises and planning efforts ▸ Formalize non-governmental stakeholder response and recovery roles in NCR governance and operations		(1) Public, private and NGO resources for response and recovery identified (November 2006); (2) Identified resources matched with known response and recovery needs (January 2007); (3) Mechanisms and formal documentation for integration of non-governmental stakeholders identified resources into response and recovery effort are completed (June 2007)	
Rough Order of Magnitude (ROM) Estimate of Cost	Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments, and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG. Assessment ROM $1.5 to $3M.		
ROM Cost Estimate Assumptions			
Cost will be incurred over 9 months in FY07. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.			
Types of Resources and Investments			
Resource information not yet available.			
Time-frame:	Early stage (FY 07)	***Initiative Lead:***	R-ESF #16 Donations and Volunteer Management
Performance Assessment			
Measure		***Baseline***	***Target***
Value of additional resources (public, private, and NGO) available for response and recovery		0	Data to be available by November 2006

RESPONSE & RECOVERY			
Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR			
Objective 4.4: Identify and close gaps in long-term recovery capabilities			
Initiative 4.4.3: Review existing programs, mutual aid agreements, MOUs, and legislation to identify and close gaps in facilitating long-term recovery			
Initiative Description			
Identify key long term recovery issues; review existing plans, policies, procedures, AARs to identify gaps in addressing these issues; and take appropriate corrective actions to close the gaps.			
Rationale			***Desired Result***
Addresses the *TCL* **Restoration of Lifelines** and **Economic and Community Recovery** capabilities, and EMAP standards related to **Operations and Procedures**. Addresses Regional gaps regarding **Understanding of Long-Term Recovery Issues** and **Special Needs Considerations**.			Region possesses capability to stimulate disaster recovery more speedily
Key Tasks and Programs			***Milestones***
▸ Identify federal programs that will be initiated if a major event/incident occurs ▸ Identify key long term recovery issues (housing, employment, mental health, community recovery and infrastructure, special needs populations, etc.) ▸ Review mutual aid agreements to see what extent they address long-term recovery issues ▸ Review MOUs to see what extent they address long-term recovery issues ▸ Review legislation to see what extent they address long-term recovery issues ▸ Review existing programs to see what extent they address long-term recovery issues ▸ Take corrective action to address gaps identified in long-term recovery capabilities ▸ Incorporate feedback mechanism for lessons learned based on real world events			(1) Complete review of existing arrangements (July 2007); (2) Identify gaps in recovery capacity (October 2007); (3) Identify corrective actions necessary to fill gaps (March 2008); (4) Develop plan for putting corrective actions into effect (September 2008)
Rough Order of Magnitude (ROM) Estimate of Cost	Initiative has not matured beyond conceptual level. ROM cost will be available once type of resources, investments and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG.		
ROM Cost Estimate Assumptions			
Cost will be incurred over 18 months during FY07 and FY08. Outyear costs to close gaps indeterminate. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only.			
Types of Resources and Investments			
Resource information not yet available.			
Time-frame:	Early and Middle stages (FY 07, 08)	***Initiative Lead:***	R-ESF #14 Mitigation and Recovery
Performance Assessment			
Measure		***Baseline***	***Target***
Decreased time to pre-defined recovery stage due to gaps closed through this Initiative, as determined by scenario modeling (per Initiative 4.4.1)		0	Data to be available by Fall 2007

Appendix B: Performance Measures Criteria

B.1. What Constitutes a Good Measure?

- Emphasizes progress towards accomplishing organizational goals/mission
- Links goals/mission to the plan at the strategic, operational, and individual (managerial/employee) levels
- Easy to understand, applicable across organization, and supported by obtainable data
- Meets "SMART" Test – Specific, Measurable, Actionable, Results-Oriented, and Timely
- Creates appropriate incentives for managers (not easily gamed)
- Speaks to cross-organizational activities (i.e., helps to smash silos) and is able to be rolled up
- Lends itself to target setting and interim variability (should not answer a yes/no question)
- Exhibits high use to cost ratio (relied on for decision-making with minimal associated costs)

B.2. What Constitutes a Good Set of Measures?

- Critical few rather than the messy many(the actual number might be determined by coverage of all activity/outcome relationships, management ability to digest, regulatory requirements or all of the above)
- Balanced across various dimensions:
  - Leading (e.g., employee fill rate) and lagging (e.g., employee satisfaction) indicators
  - Outcome and output measures
  - Activity categories (e.g., customer, accountability, internal process, learning, and growth)

Appendix C: Pre-Launch Activities, Initiatives, and Sequence

C.1. Pre-Launch Activities and Timing Sequence

We must conduct the following preliminary activities before we can launch an Initiative: (1) functional specifications; (2) technical specifications and detailed cost estimate; and (3) project plan development. We must complete these pre-launch activities and launch the Initiatives by certain deadlines in order to meet the aggressive NCR capability development goal set and target end dates. Table C-1 below details the *pre-launch* activities and their standard timeframes.

Table C-1—Initiative Pre-Launch Activities

Pre-Launch Activity Step	Activities Included	Standard Timeframe
1. Functional Specifications (*Needs Assessment*)	Initiative leads and lead support groups will develop and validate descriptions of the general needs to be filled by the project	1 month
2. Technical Specifications and Detailed Cost Estimate (*Requirements Analysis*)	Initiative leads and lead support groups will develop and validate specific project parameters and reconcile capability-based funding with Initiatives	1 month
3. Project Plan Development	Initiative leads and lead support groups will develop project plans for each Initiative.	2 months

Table C-2 takes the pre-launch activities and applies them to the Initiatives. Table C-2 describes the essential pre-launch activity steps for each Initiative, a start date on which each pre-launch activity must occur in order for the related Initiatives to start on time, and the *Strategic Plan* timing sequence to be maintained.

General assumption: Initiatives were grouped by Objective where they are similar and their planning efforts will be intertwined. However, in some cases Initiatives under the same Objective are distinct and independent enough to be planned and timed separately.

Table C-2—Strategic Plan Timing Sequence[1]

Initiative or Group	Begin Activity Shown *No Later Than*			Initiative Launch Date (From sequence above)
	1. Functional Specification/ Needs Assessment	2. Technical Specs./Reqs. and *Detailed Cost Estimates*	3. Program & Project Plans	
1.1.1	*Underway*			
1.1.2	Jun FY05	Jul FY05	Aug FY05	Oct FY06
1.2.1	May FY06	Jun FY06	Jul FY06	Sep FY06
1.2.2	Nov FY06	Dec FY06	Jan FY07	Mar FY07
1.3.1 – 1.3.2	Jun FY07	Jul FY07	Aug FY07	Oct FY08
2.1.1	*Underway*			
2.1.2	Oct FY05	Nov FY05	Dec FY05	Feb FY06
2.2.1	Jun FY06	Jul FY06	Aug FY06	Oct FY07
2.2.2	April FY06	May FY06	Jun FY06	Aug FY06
3.1.1	Jun FY06	Jul FY06	Aug FY06	Oct FY07
3.1.2, ***3.1.3,*** 3.1.4	Jan FY07	Feb FY07	Mar FY07	May FY07
3.2.1	Jun FY06	Jul FY06	Aug FY06	Oct FY07
3.2.2	Sep FY05	Oct FY05	Nov FY05	Jan FY06
3.3.1	Jan FY06	Feb FY06	Mar FY06	May FY06
3.3.2	Dec FY06	Jan FY06	Feb FY06	Apr FY06
4.1.1	Sep FY06	Oct FY06	Nov FY06	Jan FY07
4.1.2	Jun FY07	Jul FY07	Aug FY07	Oct FY07
4.1.3	March FY06	April FY06	May FY06	Jul FY06
4.2.1	Apr FY06	May FY06	Jun FY06	Aug FY06
4.2.2	Jun FY07	Jul FY07	Aug FY07	Oct FY07
4.2.3	May FY06	Jun FY06	Jul FY06	Sep FY06
4.3.1	Mar FY06	Apr FY06	May FY06	Jul FY06
4.3.2	Jun FY07	Jul FY07	Aug FY07	Oct FY07
4.3.3	May FY06	Jun FY06	Jul FY06	Sep FY06
4.4.1	Apr FY06	May FY06	Jun FY06	Aug FY06
4.4.2	Jun FY06	Jul FY06	Aug FY06	Oct FY07
4.4.3	Dec FY06	Jan FY07	Feb FY07	Apr FY07

****Priority Initiatives***

C.2. Initiatives, Sequence, and Timeline Assumptions

In the course of developing Section 4.2 and Appendix C-1, we made assumptions to establish a clear and logical sequence of Initiatives. This section details the factors that we considered and deliberated to inform the placement of activities in the *Strategic Plan's* FY07 through FY09 period of performance.

The appendix presents assumptions in three categories: *Start Factors*, *Duration Factors*, and *Comments-Assumptions*. We used these categories to describe dependencies and overlaps and generally outline the interpretation of the Initiative text used to places activities in sequence. The categories answer the fundamental lifecycle placement questions of "When?" How long?" and "What else was considered?"

[1] Note: 17 Initiatives have been included with launch dates in FY06 to capture current and ongoing strategic actions. Accordingly, pre-launch steps for FY06 initiatives are shown to describe activities that lead to the successful commencement of strategically aligned FY06 efforts.

C.2.1. Start Factors—"When must an Initiative begin?"

Start Factors outline the rationale for beginning an activity in a specific time relative to other Initiatives. The start factor also presents the logical argument for the date placement and launch timeframe of a specific activity in the *Strategic Plan* execution sequence. For example, 1.1.1 Strategic Planning Initiative must begin before enhancement or dependent planning efforts like operational or program standards can be developed.

C.2.2. Duration Factors—"How long will it probably take?"

The length of time an activity will take to perform is based on the complexity of the tasks involved and the amount of resources that can be brought to bear in the execution of the Initiative. The duration factor describes the minimum number of months that an activity will take, assuming resources are available and engaged efficiently. It also includes the fiscal year(s) in which an Initiative will occur. The year in which an activity will be performed reflects the assumed phase and stage of capability development: long term planning, implementation planning, or execution. Although we recognize that many of these Initiatives are ongoing or continuous, we assign ends based upon activity cycle ends.

C.2.3. Comments-Assumptions—"What else needs to be considered?"

The final assumption category describes the additional considerations used to place an Initiative in timescale. The category includes notes on factors, overlaps, and dependencies not fully captured by the start or duration categories.

We made the assumptions in the *Strategic Plan* to establish a logical sequence of Initiatives across the three-year planning period based on *data available* at the time. We will use the resulting timeline and sequence to help begin the process of detailed program and project planning. As requirements are further defined in the planning process, most of the assumptions and factors listed in this table will most likely be revised to maintain a cohesive and integrated strategic performance framework. We will use the framework to inform resource planning, prioritization, and allocations throughout the period of performance.

Table C-3 lists the Initiative start factors, duration factors, and comments and assumptions for each Initiative.

Table C-3—Initiative Start Factors, Duration Factors, and Comments and Assumptions

*Note: Bold, Grey Fill = *1 of 20 Priority Initiatives*

Initiative Number	Name	Start Factors	Duration Factors	Comments, Assumptions
1.1.1	**NCR Strategic Planning**	Start of long-term planning and framework development – prime basis of all other planning.	18 months, FY06 and FY07	Plan will include an actionable framework and Regional planning process for decision-making and Initiative project planning. Plan will be delivered July FY06.
1.1.2	**Document NCR homeland security planning process**	1.1.1 Establish design and begin populating strategic framework before enhancement.	21 months, FY06 and FY07	
1.2.1	**Design and conduct a risk-based threat analysis**	1.1.1 Strategic Planning enhancement must be completed before project execution can occur.	7 months, FY06 and FY07	Project Execution planning will occur in FY07. Initiative represents development of a methodology and criteria for identifying and assessing security risk consistent with HSPD-7 and 8 requirements.
1.2.2	**Establish requirements and prioritization**	Results of performance and risk assessments must be released before incorporation can occur.	4 months, FY07	
1.3.1	**Establish regional oversight and accountability**	NCR Stakeholder consensus.	26 months, FY06 through FY08	
1.3.2	**Develop investment planning lifecycle approach**	Design Analysis occurs at the end of Strategic Planning.	19 months, FY06 through FY08	
2.1.1	**Establish regional protocols and systems**	Regional protocols need to be developed before 2.1.2 education curriculum and during system build-out enhancements (system implementation, latter half of 2.1.1).	38 months, FY06-FY09	
2.1.2	**Develop and sustain multi-year education campaigns**	Long-term planning to design and establish Initiative 2.1.1 systems is required before requirements development and implementation.	36 months, FY06-FY08	Related dependency with 2.1.1. These educational campaigns need to be tied to the established Regional protocols and systems.
2.2.1	**NCR Preparedness Campaigns**	Coordinated from strategic planning and integration with implementation plans (1.1.2).	27 months, FY06-FY09	Timeframe determined by Nov. 17, 2005 plenary session participants
2.2.2	**Identify and develop stakeholder partnerships**	Leveraging and developing partnerships are critical components in NCR resource planning and capability development. The effort will be concurrent with 1.1.1 "Strategic Plan Development."	14 months, FY06-FY08	Timeframe determined by Nov. 17, 2005 plenary session participants

Initiative Number	Name	Start Factors	Duration Factors	Comments, Assumptions
3.1.1	**Prevention/Mitigation Framework Planning Integration**	*Strategic Plan* completed before prevention/mitigation integration with other operational plans. 2.2.1 NCR Preparedness campaigns completed first before prevention planning.	12 months, FY07, integration from 3.1.1. leads into the rest of Objective 3.1 implementation planning Initiatives	Overlaps Objective 4.1, 1.1.2 Implementation Planning.
3.1.2	**Training and Exercise Framework Planning**	Need to be at least half way through 3.1.1 planning before pursuing training and exercise planning.	7 months, FY07 and FY08	Separate ESF resources for each implementation planning Initiative.
3.1.3	**Health Surveillance and Detection Planning**	Need to be at least half way through 3.1.1 planning before pursuing implementation planning.	7 months, FY07 and FY08	Separate ESF resources for each implementation planning Initiative.
3.1.4	**Community-wide Prevention Campaign Planning**	Need to be at least half way through 3.1.1 planning before pursuing implementation planning.	7 months, FY07 and FY08	Separate ESF resources for each implementation planning Initiative.
3.2.1	**Info. Sharing and Collaboration Framework Resource Planning**	Long term planning for roles, responsibilities and protocols begins at the end of *Strategic Plan* and 1.1.2 Initiative Execution Planning.	13 months, FY07	November 17 plenary session documentation states Initiative will be completed by September 2007, beginning 2008.
3.2.2	**Clearing Appropriate Personnel**	Requires 3.1.1 Prevention framework SOP with identification of positions requiring clearance before process and current clearances can proceed.	15 months, FY06 and FY07	Develop process for clearance of appropriate roles/positions and process current required clearances. Allow 12 months for requested personnel to be processed. Need cleared personnel to develop clearance process and standards. Cost of background investigation and general clearing process longer and more cost prohibitive than assumed in November 17 plenary session documentation, where cost identified as "low".
3.3.1	**Prioritization CIP Protective and Resiliency Actions**	1.2.1 Risk Analysis must occur before or simultaneously with identification of NCR CIP and generation of protection recommendations.	9 months, FY06 and FY07	
3.3.2	**CIP Inventory and Assessment Methodology**	Requires completion of 1.2.1 Risk Assessment and 3.3.1 Catalog of CIP assets before enhancement and integration of risk assessment can occur.	24 months, FY06, FY07, and FY08	Initiative is limited to integration of risk and performance-based approaches, not implementation. Will not require investment to complete Initiative.
4.1.1	**Establish Corrective Action Program**	Planning process occurs during 1.1.2 (sub element of Initiative implementation planning).	5 months, FY07	Program design and implementation for AARs. Parallel effort with 1.1.2 Initiative Implementation planning.

Initiative Number	Name	Start Factors	Duration Factors	Comments, Assumptions
4.1.2	**Align and Integrate Response Plans**	Occurs after 2.2.1 Partner Engagement Planning and during 1.1.2 Initiative Implementation Planning.	6 months, FY07	Potential Overlap with 1.1.2 Initiative Implementation Planning (dependent on over-arching operational plan design) and 2.2.1 Partner Engagement Planning.
4.1.3	**Define Decontamination and Re-Entry Capabilities**	Initiative occurs at the end of 1.1.1 Strategic Planning and during the first phase of 1.1.2 Initiative Implementation Planning.	4 months, FY06 and FY07	Part of TCL: WMD/Hazardous Materials Response and Decontamination Capability, "containing and fully decontaminating the incident site, victims, responders and equipment." Need to align with Strategic Planning Framework and 1.1.2 Initiative Implementation Planning to develop and integrate capability.
4.2.1	**Develop Notification Protocols**	Occurs during design and implementation of 2.1.1 System of Systems.	8 months, FY06 and FY07	Overlaps with 2.1.1 Establish Emergency Info System of Systems.
4.2.2	**Develop and Implement NIMS Adoption Plan**	Activity occurs simultaneous to 4.1.2 Align and Integrate Response Plan and 3.2.1 Info. Sharing and Collaboration Framework Resource Planning.	12 months, FY07	Overlaps with 1.1.2 Initiative Implementation Planning, 4.1.2 Align and Integrate Response Plans, 4.3.2 Design and Implement Interdisciplinary Protocols and 3.2.1 Info. Sharing and Collaboration Framework Resource Planning.
4.2.3	**Develop and Implement Interoperability**	Initiative occurs during long-term planning phase FY06 and early FY07.	28 months, FY06 and FY07	Overlaps with 2.1.1 Establish Regional Protocols and Systems and new requirements defined in 1.2.2 will provide input to Initiative. Initiative text describing "develop architecture for Regional interoperable communications" does not match November 17 plenary documentation description/desired result which includes implementation activities.
4.3.1	**Design Resource Management System**	Lifecycle planning requires the definition of human resource management before and/or during to 1.1.2 Initiative Implementation Planning.	10 months, FY06 and FY07	Overlaps with 1.1.2 Initiative Implementation Planning.
4.3.2	**Design and Implement Interdisciplinary Protocols (e.g. Mutual Aid Agreements)**	Mutual Aid Agreements developed after *Strategic Plan* defined in 1.1.1 and during 1.1.2 Initiative Implementation Planning.	12 months, FY07	Primary Initiative activity to design and implement mutual aid agreements. Interdisciplinary refers to activities bridging R-ESF categories.

Initiative Number	Name	Start Factors	Duration Factors	Comments, Assumptions
4.3.3	**Design Interdisciplinary Equipment Interoperability Standards**	Simultaneous complement for 4.2.3. Covers all potential equipment overlaps (including communications) and interoperability issues.	13 months, FY06 and FY07	Overlaps with 4.2.3 Develop Interoperability Structure, 2.1.1 Establish Regional Protocols and Systems; new requirements defined in 2.1.1 will provide input to Initiative. Initiative complements 4.2.3 by covering all equipment architecture interoperability.
4.4.1	**Model and Exercise 15 DHS Scenarios**	End of lifecycle, assumes capability installed and developed before exercised.	26 months, FY06 and FY08	Primarily refers to ETOP and WMD training and exercises, including the development of curriculum. Measured exercise proves capability/preparedness. Initiatives do not over implementation detail required to provide capability to Initiative transparency (*Strategic Plan* Framework).
4.4.2	**Align Public, Private, NGO Resources with Response, Recovery Needs**	Simultaneous with 2.2.1 implement mutual aid agreements with Civic, Private, and NGOs.	9 months, FY07	Overlaps with Initiative 2.2.1 elements to implement mutual aid agreements with Civic, Private, NGOs; primarily covers Initiative Implementation Planning
4.4.3	**Address Long-term Recovery Gaps**	Occurs after remedies selected from 1.1.2, implementation continues through the remainder of the period of performance.	18 months, FY07 and FY08	Overlaps with 4.1.1 Establish Corrective Action Program and 1.2.1 Select Remedies from Risk Assessment.

Appendix D: Background: Evolution of the *Strategic Plan*

Since the terrorist events of September 11, 2001, we have made significant progress improving our respective preparedness capabilities. But large scale events—whether natural or man-made—respect no boundaries. We recognize this and have a long tradition of established mutual aid agreements to deal with Region-wide events. While these arrangements have generally worked well in responding to significant events, we have less experience in planning and investing for preparedness as a coordinated body. Recognizing the need for a comprehensive strategic plan for homeland security in the NCR, we have been working to develop a strategic plan since 2001.

A broad array of NCR stakeholder planning sessions and documents laid the groundwork for our NCR-homeland security strategic planning efforts after 9/11. In 2002, the Senior Policy Group was established to provide continuing policy and executive level focus to the Region's homeland security concerns and to ensure full integration of Regional activities with statewide efforts in Virginia, Maryland, and the District of Columbia. The *Homeland Security Act of 2002* created the Office for National Capital Region Coordination within DHS, which was tasked with coordinating the domestic preparedness activities of federal, state, local, and regional agencies and the private sector in the NCR. In the *Eight Commitments to Action*, the Mayor of the District of Columbia and the Governors of Virginia and Maryland committed to a collaborative approach in addressing eight areas of homeland security within the NCR.

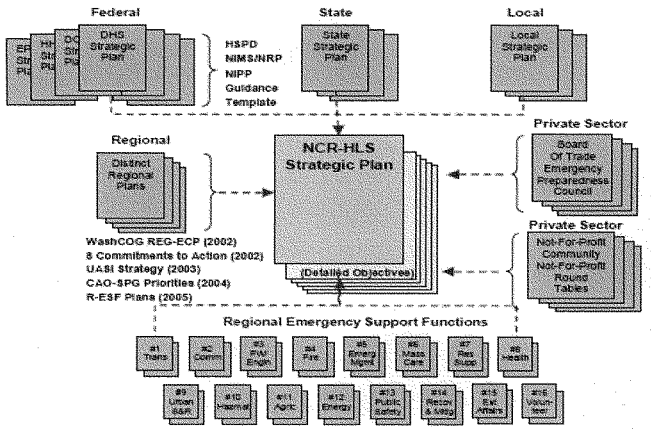
Using this groundwork, we have worked together in a collaborative, transparent process to develop a comprehensive, specific, and achievable plan to which we hold ourselves accountable. The process included interactive work sessions and off-line participatory content development. The development of the *Strategic Plan* involved three major phases: consensus building (Aug 2004 – Jun 2005), Initiative development (Jun 2005 – Nov 2005) and program management and implementation (Jan 2006 – Jul 2006).

D.1. Consensus Building (Aug 2004 – Jun 2005)

From August 2004 through June 2005, we built consensus on the basic framework for the *Strategic Plan* and the process by which the *Strategic Plan* would be developed.

We agreed to use a collaborative and integrated framework for developing the Strategic Plan as described in Figure D-1 below. We used this framework to develop the Strategic Plan and we will continue to use it to update and amend the Strategic Plan as necessary.

Figure D-1—Integrated/Collaborative Planning Framework Approach



Using this collaborative process during the Consensus Building phase, we designed the basic framework of the *Strategic Plan*. We created our Vision, Mission, Guiding Principles, and Objectives by synthesizing guidance from regional and federal reference documents, R-ESFs, and interviews with NCR stakeholders.

Five distinct Regional planning reference documents guided the design of the *Strategic Plan*.

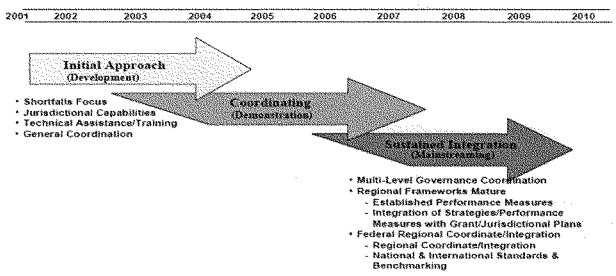
1. WashCOG REG-ECP (2002)
2. Eight Commitments to Action (2002)
3. UASI Strategy (2003)
4. (CAO)-Senior Policy Group (SPG) Priorities (2004)
5. Regional Emergency Support Functions (R-ESF) Plans (2005)

Additionally, we used the following federal documents to assist us in the design process:

1. *2002 National Strategy for Homeland Security*
2. *Department of Homeland Security Strategic Plan*
3. HSPDs 5, 7, and 8
4. NIMS
5. NRP
6. Guidance templates for the National Preparedness Goals
7. DHS State and Urban Area Grant Guidance

We also recognized that the *Strategic Plan* would need to evolve to keep pace with the NCR's changing priorities. We agreed to use collaborative, integrative planning within the NCR to make updates to the Strategic Plan. Figure D-2 depicts how we view the long-term process of enhancing overall collaborative planning within the NCR.

Figure D-2—Integrative/Collaborative Planning within the NCR



D.2. Initiative Development (Jun 2005 – Nov 2005)

After reaching consensus on the high-level Goals and Objectives, we focused on Initiative development to support the strategic Goals (see Figure D3). A series of four facilitated Goal Groups, involving representatives of the 14 NCR jurisdictions and local, state, Regional and Federal stakeholders, met between June and November 2005 to finalize the strategic Goals and Objectives and begin developing detailed Initiatives. A review group made up of representatives from each of the Goal Groups met to review and coordinate Initiative development; determine how well the Initiatives addressed Regional weaknesses and gaps; determine whether the Initiatives incorporated both the seven National Preparedness Goals and the 37 Target Capabilities; and to develop a list of priority Initiatives for consideration by the NCR Partners.

Figure D3 – Initiative Development

A June 2005 plenary session helped achieve NCR-wide agreement on an executable strategic plan for homeland security. The plenary session initiated discussions to organize, align, and integrate a broad array of policies, programs, and actions within the NCR. The plenary participants decided to schedule their next session for September 2005, providing the established Goal working groups with three months to develop Initiatives.

At the September 2005 plenary, NCR Partners agreed to finalize the Mission, Vision, Guiding Principles, and Strategic Goals for public release on the Metropolitan Washington Council of Governance website. Participants of this session also agreed to continue the Goal Groups as a means to further develop individual Initiatives. We required each Initiative to include a description, desired results or outcomes, timeframes and costs, and a status update for those already underway. Additionally, each Initiative was to include a list of key tasks, action items, and performance measures to assess the overall effectiveness of the Initiative.

To reach final consensus on NCR Initiatives, a third plenary session was held on November 17, 2005. This session finalized the strategic Initiatives developed by the working groups, defined the process by which certain Initiatives were designated "priority," and enabled us to reach an understanding and agreement on the process going forward.

The Initiative Development phase produced the necessary growth and empowerment of the RPWGs. The RPWGs are outcome-driven, accountable working groups that develop and oversee programs and the associated projects within the NCR. The SPG also created a Program Management function within the NCR Homeland Security Grants and Program Management Office to provide effective program-level management of the projects associated with the homeland security grant funding.

D.3. Program Management and Implementation (Jan 2006 – Jul 2006)

From January through March 2006, the NCR Partners began to apply the NCR FY 06 grant application process, based on the *FY 2006 Homeland Security Grant Program – Program Guidance and Grant Application Kit* (December 2005). The SPG/CAOs established a process that would be used for selecting specific projects in future grant awards and for developing and assigning action items to finalize projects. Management of these projects would be guided by RPWGs and a program management function within the NCR Homeland Security Grants and Program Management Office.

In January 2006, the SAA hosted a Homeland Security Target Capabilities Workshop, a collaborative meeting R-ESF Committees from its member jurisdictions, to assess the NCR's current homeland security program capabilities and future program needs. This meeting was designed to complete the Program and Capabilities Review required under the 2006 Homeland Security Grant Program.

Under the DHS Program and Capability Review, states are required to focus on seven National Priorities and eight specific Priority Capabilities that flow from them. Under the DHS grant provisions, assessment of the eight Priority Capabilities is mandatory for all jurisdictions. Through the review process, the NCR developed two key submissions for the FY 2006 grant application:

1. *Program and Capabilities Enhancement Plan*, which is a multi-year program management plan for the entire NCR homeland security program that looks beyond grant programs and funding; and
2. *Investment Justification*, which identified specific Initiatives from the Enhancement Plan for which the NCR proposed to use FY 2006 UASI funding.

The NCR Homeland Security Grants and Management Office is held accountable for meeting the performance measurements set forth in Enhancement and Investment Plans developed as a part of the NCR UASI application.

In February, 2006, another session was conducted to review and rank the 100+ Concept Papers/Initiative Plans submitted. Individuals representing the 16 R-ESFs and the 15 RPWGs evaluated the concept papers. The outcome of this practitioner-level evaluation was compiled for use by the SPG/CAOs in a workshop held on February 15th, 2006 at which the target funding amounts were determined for each submitted investment justification. The target cap on the overall FY 2006 package was determined by reviewing the strengths and weaknesses associated with the capabilities review and understanding what could be practically accomplished within a two-year grant timeframe. The senior leadership of the NCR also considered the use of FY 2005 funding, the level of maintenance of current projects, and other factors to inform final decisions.

On March 29, 2006, the Governments of the District of Columbia, Commonwealth of Virginia, State of Maryland, and the Office for National Capital Region Coordination testified in front of the Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia at the Readiness in the National Capital Region Hearing. Here, they:

- Provided a synopsis of the planning framework and process;
- Aided the Committee to better understand the enhanced collaborative actions we have taken since July 2005;
- Presented the NCR's collective vision for regional preparedness utilizing the FY 06 Homeland Security Grant Program Guidance; and
- Articulated progress by pointing to measurable steps taken that will improve the readiness of public and private sector and our residents across the Region.

Related to the strategic framework is the creation of multi-jurisdictional performance measures to effectively monitor and assess execution of the *Strategic Plan*. In addition to integrating guidance from DHS national efforts such as *HSPD-7* and *HSPD-8,* the NCR is also undertaking a more detailed assessment through EMAP and currently undergoing a review of emergency operation plans through the National Plan review process initiated by the President and Congress following Hurricanes Katrina and Rita.

In June of 2006, the NCR was working on the second draft of the *Strategic Plan*. NCR Stakeholders were interviewed in a two week time frame where provided their comments for the *Strategic Plan's* development. The second version of the *Strategic Plan* addressed all of these comments. The NCR Partners held a Comment Resolution Session on June 29, 2006. In this session, we reached consensus to the final version of the *Strategic Plan* that will be submitted to the EPC on July 12, 2006 for final approval.

Appendix E: Methodology Details and Management of Implementation

E.1. Risk-Based Approach

Our Mission is to "**build and sustain an integrated effort to prepare for, prevent, protect against, respond to, and recover from all-hazards threats or events**." This Mission creates a substantial risk management role for the NCR Partners. The challenge is to adopt a realistic, comprehensive, and forward-looking framework for managing risks to the NCR that recognizes that only a finite amount of resources can be allocated towards achieving our Mission. As a result, we must manage risks to the NCR using a cost-benefit analysis to ensure that resources are allocated where they will have the most beneficial impact. A **risk-based framework** possesses two central tenets: risk must be managed from a system perspective and funds must be targeted where there is the greatest exposure to risk.[2]

E.1.1. The NCR's Risk Challenge

The homeland security challenge faced by the NCR in the 21st century is due in large part to the expansive network that we have created to meet the demands of our economy and citizens. During the past two decades, the business and government entities comprising the NCR, as in most other metropolitan areas, have expanded and altered their business models to take advantage of the so-called "network-effect." Although these changes have significantly enhanced the efficiency and effectiveness of these entities, they have complicated the operating model. A more complicated business model and a world of uncertain threats create a NCR that becomes more complex and interdependent each year.

When considering risk management options to address homeland security concerns, we must remember that elements of the NCR do not exist in isolation. Each element represents a complex system—and each element is also embedded in an increasingly complex system. Homeland security in such an environment depends on creating sound risk management capabilities and possessing the ability to interact flexibly with elements of the national system.

Because the NCR is a complex system, developing linear risk strategies to improve a single element of the NCR would be ineffective. We cannot improve one part of the system without considering the impact on the other parts of the system, as reactions to changes in one area may negatively affect other areas. Consequently, introducing risk-based homeland security into a complex system requires a deliberate and dynamic approach.

As we have seen in New York, Madrid, Jakarta, London and New Orleans, disruptions to a metropolitan area can imperil the stability and prosperity of any nation regardless of wealth or military power. The situation facing us is even more stressing. Although Congress continues to make important investments in homeland security efforts, we do not have unlimited resources at our disposal to address all of the NCR's needs. Nor would unlimited resources ensure "perfect security"—the uncertainty of network behavior precludes the possibility of perfect security. Therefore, we must prudently prioritize according to the systems risks we face.

The first step in prioritizing risk is acknowledging that simple point solutions within the complex NCR system are not efficient or necessarily effective. Our approach to risk must be network based. Such an

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[2] We recognize the importance of a common approach to risk analysis and assessments in the Region, and have agreed to make its development and implementation a priority Initiative for execution in Fiscal Years 06 and 07. Among the hundreds of vulnerability assessments and risk management methods in use, each sector has one or more favored tools. At present, the only known method for risk analysis and resource allocation at the Regional level is Critical Infrastructure Protection Decision Support System, under development by a consortium of National Laboratories under DHS sponsorship.

approach calls for a systematic decision process by which we compare and contrast the cost and time impacts of potential solutions to the threat, system vulnerabilities, and network consequences of an event. The results of this analysis enable NCR Partners to prudently prioritize strategies, investments, actions, and resources to manage risk.

E.1.2. A Risk-based Approach—Taking a System Perspective[3]

When we use a system perspective to manage risk, we identify critical risks on the basis of their impact on the system. Assessing risk from a system perspective is different from assessing risk from an asset or threat-centric viewpoint. Because systems are highly complex networks with multiple connection points and interdependencies, a risk to the system implies a complex chain of events that also must be analyzed and considered when ranking the criticality of a risk. A system perspective examines the effects a risk may have on all aspects of the system, including second- and third-order effects. For instance, an attack on one of the airports in the NCR will have an immediate effect: the airport will be shut down. Second- and third-order effects may include the effects on the Regional economy and negative public perception of the safety in the NCR.

A system perspective also considers emerging risks, which are risks that have not yet materialized but that could in the near future. Emerging risks must be examined because they have the ability to have profound second- and third-order effects in the system. The cascading effects of emerging risks on the system may significantly impede the NCR leadership from achieving its Mission.

The risk-based approach enables entities to transcend typically narrow constraints on risk management and establish a risk management system that (1) keeps senior leadership and management well-informed and focused on issues critical to driving and protecting the core Mission; (2) integrates effectively with ongoing strategic and planning efforts (e.g., links risk to the strategic goals of an organization); and (3) enables business and governmental processes to continue and thrive. The system perspective is also fully aligned with the approaches used by the NCR's 14 jurisdictions and is aligned with national-level homeland security objectives and risk management methodologies under development by DHS.

E.1.3. Risk Assessment and Prioritization

The risk assessment process begins with identifying three components necessary for examining risk: (1) Threat—the probability of a risk materializing, (2) Vulnerability—a weakness in the system that can be exploited to gain access and cause harm to the system, and (3) Consequence—the impact or effect of the risk materializing, e.g., lives lost, disruption to the system, financial cost, damage to the public psyche. These three components are variables in an equation. If one variable changes, the entire risk changes. For example, a crop-duster airplane sprinkling a biological agent over northern Alaska is different than a crop-duster sprinkling that same agent over a farm in Germantown, Maryland. The difference in time, geography, mode, or asset can greatly change the magnitude or criticality of a threat, vulnerability, or consequence.

To arrive at specific threats, vulnerabilities, and consequences that must be assessed in order to determine risk, this framework uses a scenario-based methodology to assist decision makers in identifying and understanding potential risks to the system. Our dynamic threat environment creates a potential for a wide range of changing risks—the fundamental question for the NCR is how to meet these challenges. The system-based approach gives us the ability to examine some key questions:

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[3]The risk-based approach outlined in this section provides the overall framework on how the NCR Partners address risk as part of this *Strategic Plan*. We will continually develop and refine this approach.

- Who "owns" the risk?
- How do we identify the highest risks?
- How do we manage these risks and who should do it?
- How do we balance resource allocation against risks?
- How can we ensure real risk reduction?

A process to examine systems-based risk in the context of these questions must be methodical, iterative, and traceable.

E.1.4. Dynamic Nature of Risk-Based Approach

The NCR Partners have developed their *Strategic Plan* to address a list of critical risks (see Section 3.2). As we determine which capabilities can be bolstered, created, and mapped to specific critical risks for purposes of allocating set resources and measuring performance, we must appreciate that the critical risk list will change. Because of the changing nature of threats, continuous technological improvements, and policy changes, the elements that comprise risks are constantly changing. Because of this continual flux, we must keep the framework to manage those critical risks as adaptive and flexible as possible. If critical risks are altered or new emerging critical risks arise, capabilities must already be in place to address those changes. Therefore, the strategic approach must accommodate the varying levels of risk within the 14 jurisdictions, the all-hazards scope of the *Strategic Plan*, and the fluctuating nature of the critical risks.

E.1.5. CIP RPWG's Emerging Strategy

The CIP RPWG's emerging strategy (see Section 3.2) will in part help to focus on the need to address the dynamic nature of a risk-based approach. The CIP RPWG strategy has two major goals supportive of the overall risk-based approach of the *Strategic Plan*: (1) *Decision Support*—to build capacity for making prudent investments in infrastructure risk reduction projects by private and public officials; and (2) *Implementation Support*—to take such immediate steps as are mandated or clearly compelling to directly contribute to making the NCR's critical infrastructures more secure and resilient.

Six key objectives summarize the need for **Decision Support** (including awareness, organization, and decision support):

- Assess the state of security of the critical infrastructures not yet assessed (as many as seven more sectors);
- Create action plans and increase awareness of CIP and interdependencies by conducting a series of meetings and a series of public-private table top exercises at the sector and Regional level;
- Initiate and facilitate *councils* for Regional information-sharing, coordination and decision-making as leadership partnerships for all stakeholders;
- Provide analytic decision support using metrics, models, and other methodologies to facilitate planning and selection of risk reduction projects;
- Facilitate implementation of the selected risk reduction projects, starting with vulnerability assessments of the infrastructures of highest priority to the Region; and
- Evaluate improvement and design enhancements in critical infrastructure security and resilience in the NCR, and empirically measure baseline levels of key regional outcome metrics to serve as baselines for later comparisons.

The following objectives summarize **Implementation Support** and how activities will be carried out:

1. Integrate state and local CIP activities and plans with other Regional initiatives, to include: Harmonization of critical asset lists in existence in the region; *District of Columbia CIP Plan; Maryland CIP Plan*; *Virginia CIP Plan*; *Regional Emergency Coordination Plan* (facilitated by COG); the *Strategic Plan*;
2. Develop NCR standards for Critical Infrastructure Protection Compliance Program, to include: NCR and sector standards that accredidate critical infrastructure/key assets as compliant; coordinate with insurance community for assistance and buy in; coordinate with MD, VA, and DC strategies; and
3. Coordinate and/or conduct regional table-top CIP and interdependency focused exercises, targeted to specific stakeholders, such as private sector executives of non-critical businesses, citizens, homeland security leaders and professionals from the response community.

E.2. Capabilities-Based Approach

Capabilities-based planning and analysis[4] are key components to the *Strategic Plan's* overall methodology. Using the target list of 37 capabilities established by DHS, the NCR can build the needed Regional capacity to prepare for the broad range of potential all-hazards threats. These target capabilities serve as the groundwork to prevent, protect against, respond to and recover from potential incidents. By using a capabilities-based approach, NCR Partners are able to set priorities for the most effective use of resources and establish a process that determines how current systems will evolve to meet mission capability requirements.

The 37 Target Capabilities also help to identify existing resources and performance levels in the NCR. Each capability provides a means to achieve a measurable outcome resulting from performance of one or more critical tasks, under specified conditions and performance standards. During the planning process, the NCR determined target levels of these capabilities to deal with determined risks and gaps in the Region. It also allows the NCR to identify areas of weakness based on mandated measures.

Through identified capabilities, NCR Partners and first responders are able to strengthen inter-jurisdictional relationships as well as engage in Regional preparedness planning and operations support. No single jurisdiction is expected to have all capabilities at a sufficient level to address all major events. Instead, jurisdictions call for support from other jurisdictions through mutual aid agreements. This approach demands that stakeholders understand operational requirements and Regional capability levels in order to adequately prepare for an emergency. Capabilities-based planning and analysis offers a transparent process and provides measurable goals and action items as well as enables the NCR to link procurement decisions to strategic Goals. This planning process encourages a joint approach by collaborating tools and resources in order to attain target aims and it engages planners at all levels to coordinate and understand the Region's level of preparedness.

Using target capabilities in the NCR strategic planning process gives local and State agencies a tool that can be used in preparedness planning to assess preparedness, develop strategies to enhance preparedness, and establish priorities for the effective use of limited resources. It also enhances training programs, identifies technology development priorities, and evaluates performance during exercises and real events. By working through a capabilities-based approach, the NCR is able to create an agile and flexible response plan that can meet a wide range of threats and emergencies.

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[4] Capabilities-based planning and analysis is founded on the 15 National Homeland Security Scenarios and applied to the NCR as well as the *Target Capabilities List.*

While the *Strategic Plan* is designed to address all 37 target capabilities, its immediate implementation will focus primarily on 14 priority capabilities:

1. Planning
2. Interoperable Communications
3. Community Preparedness and Participation
4. Information-Sharing and Dissemination
5. Law Enforcement Investigation and Operations
6. CBRNE Detection
7. Critical Infrastructure Protection
8. Critical Resource Logistics and Distribution
9. Explosive Device Response Operations
10. WMD/ HazMat Response and Decontamination
11. Citizen Protection
12. Medical Surge
13. Mass Prophylaxis
14. Mass Care

Eight have been designated by DHS and six have been identified by the NCR Partners during the strategic planning and implementation process.[5] Implementation of this *Strategic Plan's* priority Initiatives will strengthen these 14 capabilities, help to close the NCR's most pressing homeland security gaps, and bring the NCR into alignment with mandated DHS national priorities. As part of the capability-based planning process, we will periodically review this list of priorities and make adjustments as necessary.

National Homeland Security Target Capabilities

- *Planning
- *Interoperable Communications
- *Community Preparedness and Participation
- Risk Management

Prevent Mission Capabilities

- Information Gathering / Indicator & Warning Recognition
- Intelligence Analysis and Production
- *Information Sharing and Dissemination
- *Law Enforcement Investigation and Operations
- *CBRNE Detection

Protect Mission Capabilities

- *Critical Infrastructure Protection
- Food and Agriculture Safety and Defense
- Epidemiological Surveillance and Investigation
- Public Health Laboratory Testing

Recover Mission Capabilities

- Structural Damage and Mitigation Assessment
- Restoration of Lifelines
- Economic and Community Recovery

Response Mission Capabilities

- Onsite Incident Management
- Emergency Operations Center Management
- *Critical Resource Logistics and Distribution
- Volunteer Management and Donations
- Responder Safety and Health
- Public Safety and Security
- Animal Health Emergency Support
- Environmental Health
- *Explosive Device Response Operations
- Firefighting Operations/Support
- *WMD/ HazMat Response and Decontamination
- *Citizen Protection
- Isolation and Quarantine
- Urban Search and Rescue
- Emergency Public Information and Warning
- Triage and Pre-Hospital Treatment
- *Medical Surge
- Medical Supplies Management and Distribution
- *Mass Prophylaxis
- *Mass Care
- Fatality Management

*NCR Priority Capabilities

E.3. Consensus-Building Process

The multi-jurisdictional nature of the NCR presents one of the most unique and challenging aspects to its preparedness planning. The Region's 14 jurisdictions are of vastly different size in both population and geographic coverage. To ensure that the preparedness needs and interests of one jurisdiction do not dominate the *Strategic Plan*, NCR stakeholders adopted a consensus-building approach when they developed the *Strategic Plan*.

Successful consensus-building relies on an iterative development process built around five basic tenets: (1) Include the full spectrum of NCR Partners, (2) Involve stakeholders throughout the strategic planning process, (3) Provide a variety of forums for stakeholder involvement, (4) respect of jurisdictional authority, and (5) ensuring the preparedness needs of all jurisdictions are balanced. Both the NCR's strategic planning process and governance structure are continually refined to ensure application of each tenet.

[5] The 14 priority Initiatives were identified during the 2006 Urban Area Security Initiative grant process and used, along with the Initiatives included in the *Strategic Plan*, as the basis for the Region's UASI submission in February 2006.

The various NCR governance bodies, described in detail in Chapter 4, are designed to reflect the diversity of NCR stakeholders within the 14 jurisdictions and ensure the representation of their needs and interests. The groups and committees that comprise the NCR governance structure are involved at many points in the development process, to include the formulation of high-level strategies and the definition of specific Initiatives. Furthermore, stakeholders are provided multiple forums for involvement, including committees, working groups, and practitioner groups. Decisions within each of these groups are reached through consensus. Applying a consensus-building approach to NCR strategic planning ensures a comprehensive and balanced view of preparedness and promotes partnership-building and ownership among stakeholders, all of which are critical success factors for Regional preparedness.

E.4. The Performance Based Perspective

Measure Timeliness

Lagging measures provide performance information that may be more directly related to ultimate success, but is less useful for operational management because it's availability is infrequent and/or delayed.

Leading measures provide information that is frequently and quickly available, and which quantifies performance which is thought to contribute to the results ultimately desired.

Performance management is a key component of the *Strategic Plan's* overall methodology. The purpose of a strategic plan is to drive an organization toward actions that result in the accomplishment of its strategy. Without action, any strategic plan will be a failure. However, the actions must be the correct ones. Measurement of performance against the *Strategic Plan* ensures that NCR stakeholders base their actions on the *Strategic Plan*, that these actions produce the expected results, and that those results lead to success.

As part of the strategic planning process, we developed standards for assessing NCR strategic performance. During the development phase, as strategic needs were proposed and discussed, the NCR Partners carefully shaped and selected Goals, Objectives, and Initiatives along with clearly defined and understood results. Subsequently, we identified parameters that communicate both the status of progress in completing the planned actions (project milestones) and the results or benefits of having done so (performance measures). Although milestones are intended for use during implementation at the Initiative level, measures are used after actions are completed and are applied at the levels of Initiatives, Objectives, and Goals.

Measure Types

Outcome measures quantify the effect on the organization or environment of an activity. Outcomes may be more immediate (directly resulting from the activity), or more ultimate (resulting from the activity and a few to many other factors).

Output measures describe the product of an activity: quality, quantity, accuracy, etc.

Proxy measures are those which are selected to be closely tied to a direct result which cannot be easily or usefully measured. Example: measuring precursors to failure (radiation exposures exceeding regulatory limits) where failure (reactor incidents) is not an option.

Efficiency measures describe the economy of a particular activity or performance in terms of outputs per input resources.

Cost effectiveness measures describe the economy of an activity or group of activities in terms of input resources required to achieve a given outcome.

We determined milestones by identifying the major expected tangible outputs at intervals of implementation. The NCR Partners also assigned timeframes associated with the completion of each milestone based on our understanding of the Initiative and the level of effort required. Detailed budgets for each Initiative, as they are developed, will also be linked to these milestones. Data tracked against these cost, schedule, and level of effort standards will provide a comprehensive project management view for implementing these Initiatives.

The performance measures developed for the *Strategic Plan* elements include output, efficiency, and outcome measures. Generally, outcome measures are favored over output measures, especially at the higher levels of Objectives and Goals. Outcomes provide a

clearer assessment of the effectiveness of actions, rather then merely levels of activity. Together, they answer the "so what?" question, which is always relevant.

Despite the preference for outcome measures, output measures were deemed the best choice for several Initiatives. Outcomes associated with the Initiatives will be affected by many factors beyond a single specific Initiative: therefore an outcome measure at the Objective level was deemed more appropriate. Outputs specific to these Initiatives are measured to provide insight to the level of contribution toward the outcome.

Often, output measures can provide more timely insight for management purposes than outcome measures. Because output measures provide information that is more frequently and quickly available (i.e., "leading" measures), management does not need to wait for final outcome measures to be generated and assessed (i.e., "lagging" measures) to make decisions.

In the same way, "proxy" measures are sometimes used in place of outcomes for plan elements whose desired outcome is safety or security. In these circumstances, success occurs when no negative event is experienced. Counting or measuring these events provides performance information too late to be of value, so more "leading" indicators of prevention success must be used instead.[6]

Finally, efficiency measures have generally been formulated in instances in which they can be associated with outcomes (cost-effectiveness), rather than simply outputs. Cost-effectiveness, like outcome measures, provides more relevant information than output efficiency. However, the latter is sometimes useful as a leading indicator of the former.

Measures in this *Strategic Plan* were developed according to accepted practices in the performance measurement and management field. Criteria for "good" performance measures (see Appendix B) were applied to ensure the quality and usefulness of the proposed set.

Other Measurement Terms

Milestone: one of a series of objectively verifiable achievements or outputs contributory to and occurring at intervals on the way to the completion of a project

Measure: an attribute capable of being quantified

Measurement: the actual value of a measure applied to a particular object at a particular time

Target: The desired value for a measure; the level of performance to be achieved

We developed the targets for the various measures based on their best understanding of current, achievable, and desirable levels of performance. In some cases, targets cannot be set because the baseline levels of current performance are unavailable to inform an assessment of achievable performance. Where baselines or targets have not yet been determined, we have shown the approximate timing when they will be available instead of the baseline or target value. Ongoing performance assessment will provide missing baselines, improve the understanding of achievable performance ranges, and allow future targets to be defined or refined. Targets will be used to judge the adequacy of the performance achieved.

The resulting scheme of performance measurement satisfies needs for results information at multiple levels, as indicated by the shaded rows in Table E-1. The *Strategic Plan's* strategic level measurement scheme is not designed for measuring either mission-level or operations-level performance. Because NCR operations are carried out and managed at the individual jurisdictional level, measuring this

[6] For OMB's guidance on dealing with this measurement challenge, see *"Performance Measurement Challenges and Strategies,"* OMB June 18, 2003, p.11.

performance at the strategic level would be inappropriate. Mission-level measurement, although not specifically addressed by this *Strategic Plan*, would be informed by and at least partly composed of the most critical Goal level strategic measures. For detailed information on the performance measures for Goals, Objectives, and Initiatives, see Appendix A.

Table E-1—Levels of NCR Homeland Security Performance Measurement

Level	Question Answered	Focus	Timeliness	Type
Mission	How effective is the NCR homeland security function at securing the NCR?	Strategic	Lag	Ultimate outcome (or proxy), effectiveness, cost- effectiveness
Goals	What is the status of achieving major outcomes that lead to mission success?	Strategic	Lag	Outcome (or proxy), effectiveness
Objectives				
Initiative	What are the immediate results of the completed Initiatives?	Strategic/ operational	Lead/lag	Immediate outcome (or proxy), output, efficiency
Operations	How well is the NCR homeland security function operating?	Operational	Lead	Output, efficiency,

E.5. Management of Implementation

In addition to the risks associated with all-hazards threats to the NCR, the NCR Partners face implementation risk. Implementation risk represents areas or events that have the potential to negatively impact the execution of the *Strategic Plan*'s Initiatives and the development of a capability. To minimize implementation risk, we will use a proven implementation risk management process. The goal of the implementation risk process is to monitor and manage risks to cost and performance of the Initiatives so that we develop the NCR capabilities for the greatest impact, at the lowest price available, and with minimal risk. This process employs three steps: risk identification, risk analysis, and risk mitigation. Figure E-1 illustrates the flow of the NCR implementation risk process and the resulting actions for each phase. As the implementation risk management process matures, we will realize cost avoidance and savings. These savings will demonstrate continued stewardship of NCR resources and help to ensure that cost continues to be balanced with effective implementation risk management.

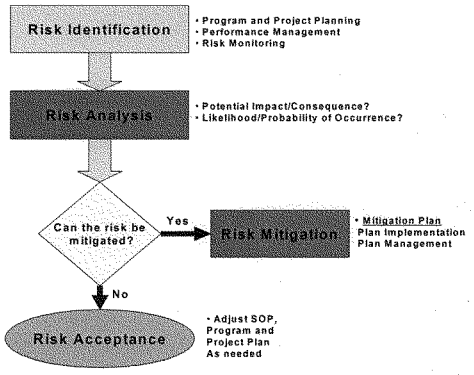
Implementation Risk Identification
We will use a proven and verified method for identifying potential risk to the cost, schedule, and ability of an Initiative to deliver and perform against Goals and Objectives. Many risks will represent ongoing constraints of the public sector, including funding cuts, political sponsorship, and shared governance.

Implementation Risk Analysis
We will analyze every potential risk to estimate the likelihood or probability that an event will occur in a specific timeframe; identify the potential impact on schedule, cost or scope; and determine the overall effect on related programs and Initiatives. The result of risk analysis will be a prioritization of potential risks to Initiative implementation.

Implementation Risk Mitigation
Once we identify a potential risk and determine its potential impact and priority, we must develop a plan for mitigation and ongoing monitoring. This plan will contain a description of the potential risk, the risk analysis results, a strategy to minimize the risk's impact on the *Strategic Plan's* implementation, and a timeline for implementation of the risk mitigation strategy (Mitigation Plan). The Mitigation Plan will also describe the essential program oversight to be maintained to ensure that Initiatives produce

aggregate value to NCR capability development. If a risk cannot be mitigated, it will be accepted as an ongoing implementation constraint that must be recognized as a fixed characteristic of the project execution environment. We will design the Mitigation Plan to ensure best practices and quality of delivery are maintained throughout NCR Initiative implementation lifecycles.

Figure E-1—NCR Implementation Risk Management Process



Appendix F: EMAP Standards and Findings Mapped to Initiatives

Table F-1 shows the alignment between the 30 strategic Initiatives outlined in the *Strategic Plan* and the Emergency Management Accreditation Program (EMAP). EMAP is a "voluntary national accreditation process for state, territorial, tribal and local emergency management programs" that uses recognized nationals standards as a means for evaluating and improving emergency management programs.

Table F-1 shows the alignment between the *Strategic Plan's* 30 Initiatives and EMAP's 58 standards for emergency management programs. Each "x" in the tables represents an alignment between a strategic Initiative and a particular EMAP standard. The 58 EMAP standards have been compressed in Table F-1 into 18 categories, based on the EMAP Standard issued in April 2006, for ease of use.

22 out of the 30 Initiatives in the *Strategic Plan* address 54 of the 58 EMAP standards. Those standards that address general operational considerations, such as assigning functional roles for emergency response operations, are beyond the scope of the *Strategic Plan*. With two exceptions, the eight Initiatives that are not aligned with EMAP fall under Goal 3 (Prevent & Protect) and deal with intelligence, surveillance, and critical infrastructure protection. EMAP, an emergency management program, does not address these Initiatives.

The EMAP standards related to "Program Management" are generally covered under Goal 1 (Planning & Decision-making). Those related to "Communications" are covered under Goal 2 (Community Engagement). The majority of the remaining EMAP standards are addressed in Goal 4 (Response & Recovery).

In early 2006, EMAP conducted a pilot assessment[7] of the NCR and found "low" or "moderate" compliance with 54 of the EMAP standards. Table F-2 shows the Region's level of compliance ("L" for low, "M" for moderate) for each of the 54 standards and the Objective that is addressing the gap or shortfall. All 54 standards are addressed by at least one Objective.

[7] See Volume 1, Section 5.1.3 for a more detailed discussion of the EMAP Assessment and its relationship to the *Strategic Plan*.

Table F-1—Alignment of the *Strategic Plan* with EMAP Standards

Mapping EMAP Standards to NCR Strategic Initiatives	Goal One						Goal Two			
	1.1.1	1.1.2	1.2.1	1.2.2	1.3.1	1.3.2	2.1.1	2.1.2	2.2.1	2.2
Chapter 4: Program Management										
4.1 - Program Administration	x									
4.2 - Program Coordinator		x								
4.3 - Advisory Committee					x					
4.4 - Program Evaluation	x									
Chapter 5: Program Elements										
5.2 - Laws and Authorities	x									
5.3 - Hazard Identification, Risk Assessment...			x							
5.4 - Hazard Mitigation				x						
5.5 - Resource Management										x
5.6 - Mutual Aid										
5.7 - Planning	x									
5.8 - Direction, Control and Coordinatoin										
5.9 - Communications and Warning							x			
5.10 - Operations and Procedures										
5.11 - Logistics and Facilities										
5.12 - Training										
5.13 - Exercises, Evaluations and Corrective Actions										
5.14 - Crisis Communications, Public Information...							x	x		
5.15 - Finance and Administration						x				

Mapping EMAP Standards to NCR Strategic Initiatives	Goal Three							
	3.1.1	3.1.2	3.1.3	3.1.4	3.2.1	3.2.2	3.3.1	3.3.2
Chapter 4: Program Management								
4.1 - Program Administration								
4.2 - Program Coordinator								
4.3 - Advisory Committee								
4.4 - Program Evaluation								
Chapter 5: Program Elements								
5.2 - Laws and Authorities								
5.3 - Hazard Identification, Risk Assessment...								
5.4 - Hazard Mitigation								
5.5 - Resource Management								
5.6 - Mutual Aid								
5.7 - Planning		x						
5.8 - Direction, Control and Coordinatoin								
5.9 - Communications and Warning								
5.10 - Operations and Procedures								
5.11 - Logistics and Facilities								
5.12 - Training		x						
5.13 - Exercises, Evaluations and Corrective Actions								
5.14 - Crisis Communications, Public Information...								
5.15 - Finance and Administration								

Mapping EMAP Standards to NCR Strategic Initiatives	Goal Four											
	4.1.1	4.1.2	4.1.3	4.2.1	4.2.2	4.2.3	4.3.1	4.3.2	4.3.3	4.4.1	4.4.2	4.4.3
Chapter 4: Program Management												
4.1 - Program Administration												
4.2 - Program Coordinator												
4.3 - Advisory Committee												
4.4 - Program Evaluation												
Chapter 5: Program Elements												
5.2 - Laws and Authorities												
5.3 - Hazard Identification, Risk Assessment...												
5.4 - Hazard Mitigation												
5.5 - Resource Management							X					
5.6 - Mutual Aid								X				
5.7 - Planning		X										X
5.8 - Direction, Control and Coordination		X			X							
5.9 - Communications and Warning				X		X			X			
5.10 - Operations and Procedures	X	X	X									X
5.11 - Logistics and Facilities							X					
5.12 - Training												
5.13 - Exercises, Evaluations and Corrective Actions	X									X		
5.14 - Crisis Communications, Public Information...												
5.15 - Finance and Administration												

Table F-2—Alignment of the *Strategic Plan* with EMAP Assessment Findings

Standard Number	EMAP Key Findings Gaps and Shortfalls	Rating	Goal 1			Goal 2		Goal 3			Goal 4			
			1.1	1.2	1.3	2.1	2.2	3.1	3.2	3.3	4.1	4.2	4.3	4.4
4.1	Program Administration	L	X	X										
4.2	Program Coordinator	M	X	X										
4.3	An advisory committee shall be established by the entity in accordance with its policy.	M	X											
4.3.2	The advisory committee shall provide input to or assist in the coordination of the preparation, implementation, evaluation, and revision of the program.	M	X											
4.3.3	The committee shall include the program coordinator and others who have the appropriate expertise and knowledge of the entity and the capability to identify resources from all key functional areas within the entity and shall solicit applicable external re	M	X											
4.4	Program Evaluation	L									X			X
5.2.1	The disaster/emergency management program shall comply with applicable legislation, regulations, and industry codes of practice.	M	X		X									
5.2.2	The entity shall implement a strategy for addressing needs for legislative and regulatory revisions that evolve over time.	M	X		X									
5.3.1	The entity shall identify hazards, the likelihood of their occurrence, and the vulnerability of people, property, the environment, and the entity itself to those hazards.	L	X	X										
5.3.3	The entity shall conduct an impact analysis to determine the potential for detrimental impacts of the hazards on conditions	L	X	X										
5.4	Hazard Mitigation	L		X	X					X				
5.5.51	The entity shall establish resource management objectives consistent with the overall program goals and objectives as identified in Section 4.1 for the hazards as identified in Section 5.3.	L										X	X	

Standard Number	EMAP Key Findings Gaps and Shortfalls	Rating	Goal 1 1.1	1.2	1.3	Goal 2 2.1	2.2	Goal 3 3.1	3.2	3.3	Goal 4 4.1	4.2	4.3	4.4
5.5.2	The resource management objectives established shall consider, but not be limited to, the following: (1) Personnel, equipment, training, facilities, funding, expert knowledge, materials, and the time frames within which they will be needed (2) Quantity, r	L										X	X	
5.7.2.1	The program shall include, but shall not be limited to, a strategic and coordination plan, emergency operations/response plan, a mitigation plan, a recovery plan, and a continuity plan.	L									X			
5.7.2.2	Emergency Operations/ Response plan. Local and regional level capabilities only partially comply with standard.	M									X			
5.7.2.2	The emergency operations/response plan shall assign responsibilities to organizations and individuals for carrying out specific actions at projected times and places in an emergency or disaster.	M									X	X		
5.7.2.3	The mitigation plan shall establish interim and long-term actions to eliminate hazards that impact the entity or to reduce the impact of those hazards that cannot be eliminated.	L						X						
5.7.2.4	The recovery plan shall be developed using strategies based on the short-term and longterm priorities, processes, vital resources, and acceptable time frames for restoration of services, facilities, programs, and infrastructure.	L											X	X
5.7.2.5	A continuity plan shall identify the critical and time-sensitive applications, vital records, processes, and functions that shall be maintained, as well as the personnel and procedures necessary to do so, while the damaged entity is being recovered.	L									X	X		
5.7.3.1	The functional roles and responsibilities of internal and external agencies, organizations, departments, and individuals shall be identified.	L									X			X
5.8.1	The entity shall develop the capability to direct, control, and coordinate response and recovery operations.	M									X			
5.8.3	The incident management system shall be communicated to and coordinated with appropriate authorizations and resources identified in Section 5.5.	L									X			
5.8.4	The entity shall establish applicable procedures and policies for coordinating response, continuity, and recovery activities with appropriate authorities and resources while ensuring compliance with applicable statutes or regulations.	L										X		

Standard Number	EMAP Key Findings Gaps and Shortfalls	Rating	Goal 1 1.1	1.2	1.3	Goal 2 2.1	2.2	Goal 3 3.1	3.2	3.3	Goal 4 4.1	4.2	4.3	4.4
5.9.1	Communications systems and procedures shall be established and regularly tested to support the program.	M							X			X		
5.9.3	Emergency communications and warning protocols, processes, and procedures shall be developed, periodically tested, and used to alert people potentially impacted by an actual or impending emergency.	L							X			X		
5.10.1	The entity shall develop, coordinate, and implement operational procedures to support the program.	M									X	X		
5.10.2	The safety, health, and welfare of people, and the protection of property and the environment under the jurisdiction of the entity shall be addressed in the procedures.	L	X								X			
5.10.3	Procedures, including life safety, incident stabilization, and property conservation, shall be established and implemented for response to, and recovery from, the consequences of those hazards identified in Section 5.3.	L											X	X
5.10.4	A situation analysis that includes a damage assessment and the identification of resources needed to support response and recovery operations shall be conducted.	L									X			
5.10.5	Procedures shall be established to allow for initiating recovery and mitigation activities during the emergency response.	L											X	
5.10.6	Procedures shall be established for succession of management/government as required in 5.7.2.5.	L									X			
5.11.1	The entity shall establish logistical capability and procedures to locate, acquire, store, distribute, maintain, test, and account for services, personnel, resources, materials, and facilities procured or donated to support the program.	L												X
5.11.2	A primary and alternate facility capable of supporting continuity, response, and recovery operations shall be established, equipped, periodically tested, and maintained.	L									X			
5.12.1	The entity shall assess training needs and shall develop and implement a training/educational curriculum to support the program. The training and education curriculum shall comply with all applicable regulatory requirements.	L						X						

Standard Number	EMAP Key Findings Gaps and Shortfalls	Rating	Goal 1 1.1	1.2	1.3	Goal 2 2.1	2.2	Goal 3 3.1	3.2	3.3	Goal 4 4.1	4.2	4.3	4.4
5.12.2	The objective of the training shall be to create awareness and enhance the skills required to develop, implement, maintain, and execute the program.	L						X						
5.12.3	Frequency and scope of training shall be identified.	L						X						
5.12.4	Personnel shall be trained in the entity's incident management system.	L						X						
5.12.5	Training records shall be maintained.	L						X						
5.13.1	The entity shall evaluate program plans, procedures, and capabilities through periodic reviews, testing, post-incident reports, lessons learned, performance evaluations, and exercises.	L									X			
5.13.2	Exercises shall be designed to test individual essential elements, interrelated elements, or the entire plan(s).	L						X						
5.13.3	Procedures shall be established to ensure that corrective action is taken on any deficiency identified in the evaluation process and to revise the relevant program plan.	L									X			
5.14.1	The entity shall develop procedures to disseminate and respond to requests for predisaster, disaster, and post-disaster information, including procedures to provide information to internal and external audiences, including the media, and deal with their i	L					X		X					
5.14.2	The entity shall establish and maintain a disaster/emergency public information capability	M				X			X					
5.14.3	Where the public is potentially impacted by a hazard, a public awareness program shall be implemented.	M				X	X							
5.15.1	The entity shall develop financial and administrative procedures to support the program before, during, and after an emergency or disaster.	M							X					
5.15.2	Procedures shall be established to ensure that fiscal decisions can be expedited and shall be in accordance with established authority levels and accounting principles.	M											X	

Appendix G: List of Acronyms

CAO – Chief Administrative Officer

CBRNE – Chemical, Biological, Radiological, Nuclear and Explosive

COG – Council of Governments (see also MWCOG)

CIP – Critical Infrastructure Protection

CI/KR – Critical Infrastructure / Key Resources

DHS – Department of Homeland Security

EAS – Emergency Alert System

EMAP – Emergency Management Accreditation Procedures

EPC – Emergency Preparedness Council

EPG – Exercise Program Group

ESF – Emergency Support Function (see also R-ESF)

ETOP – Exercise and Training Operations Program

HSEC – Homeland Security Executive Committee

HSGP – Homeland Security Grant Program

ICS – Incident Command System

IMT – Incident Management Team

JFC – Joint Federal Committee

MWCOG – Metropolitan Washington Council of Governments

NCR – National Capital Region

NCRC – Office for National Capital Region Coordination

NIMS – National Incident Management System

NIPP – National Infrastructure Protection Plan

NSSE – National Security Special Event

NVOAD – National Voluntary Organization Active in Disaster

PMO – Program Management Office

RECP – Regional Emergency Coordination Plan

R-ESF – Regional Emergency Support Function

RPWG – Regional Program Working Group

ROM – Rough Order of Magnitude

SAA – State Administrative Agency

SME – Subject Matter Expert

SPG – Senior Policy Group

TCL – Target Capabilities List

UASI – Urban Area Security Initiative

VOAD – Voluntary Organization Active in Disaster (see also NVOAD)

WMD – Weapons of Mass Destruction

Appendix H: Glossary

Action Item: Tactical step necessary to implement an Initiative.

All-Hazards: "Refers to preparedness for domestic terrorist attacks, major disasters, and other emergencies." (Source: HSPD-8, December 2003)

Chief Administrative Officers Committee (CAO Committee): A technical committee within MWCOG composed of the chief administrative officers from member local governments. (Source: MWCOG.org)

Emergency Management Accreditation Program (EMAP): The voluntary assessment and accreditation process for state/territorial, tribal, and local government programs responsible for coordinating prevention, mitigation, preparedness, response, and recovery activities for natural and human-caused disasters.

Emergency Preparedness Council (EPC): "An advisory body which reports to the MWCOG Board of Directors. The EPC makes policy recommendations to the MWCOG Board through the Public Safety Policy Committee and makes procedural or other recommendations to the MWCOG Board or to various regional agencies with emergency preparedness responsibilities or operational response authority." (Source: MWCOG.org)

Emergency Support Function (ESF): A grouping of government and certain private-sector capabilities into an organizational structure to provide support, resources, and services. (Source: *National Response Plan*, December 2004)

Fiscal Year: This plan references a fiscal year that is a 12 calendar month period ending with September, and is numbered the same as the calendar year in which it ends. For example, FY 2006 is October 2005 through September 2006.

Goal: Mini desired end state. Achieving all Goals enables realization of the Vision.

Guiding Principle: "Rule of the road" in making strategic decisions.

Homeland Security: "A concerted regional effort to prevent terrorist attacks within the NCR, reduce the region's vulnerability to all-hazards events, and minimize the damage and recover from events that do occur."

Initiative: A measurable, time-specific statement that is subsidiary to the Objective.

Joint Federal Council (JFC): "A decision-making entity that provides a forum for policy discussions and resolution of security related issues of mutual concern to federal, state, and local jurisdictions within NCR." (Source: DHS.gov)

Metropolitan Washington Council of Governments (MWCOG): "MWCOG is a regional organization of Washington area local governments. MWCOG is composed of 20 local governments surrounding our nation's capital, plus area members of the Maryland and Virginia legislatures, the U.S. Senate, and the U.S. House of Representatives." (Source: MWCOG.org)

Mission: The empowering statement that enables one to reach the Vision. The Mission of the NCR Partners is to: "Build and sustain an integrated effort to prepare for, prevent, protect against, respond to, and recover from 'all-hazards' threats or events."

National Capital Region (NCR or Region): "The geographic area located within the boundaries of (A) the District of Columbia, (B) Montgomery and Prince Georges Counties in the State of Maryland, (C) Arlington, Fairfax, Loudoun, and Prince William Counties and the City of Alexandria in the Commonwealth of Virginia, and (D) all cities and other units of government within the geographic areas of such District, Counties, and City." (Source: Title 10, United States Code, Section 2674 (f)(2)). For the purposes of mutual aid, *Section 7302(a)(7) of the Intelligence Reform and Terrorism Prevention Act (Pub. L. 108-458), December 17, 2004*, defines NCR as: "The term 'National Capital Region' or 'Region" means the area defined under section *2674(f)(2)* of *Title 10, United States Code*, and those counties with a border abutting that area and any municipalities therein." Therefore, the 14 jurisdictions within the NCR and covered by this *Strategic Plan* are: Arlington, Fairfax, Loudoun, and Prince William counties and the independent cities of Alexandria, Fairfax City, Falls Church, Manassas, and Manassas Park in Virginia; Montgomery and Prince George's counties in Maryland; and the District of Columbia, Commonwealth of Virginia, and State of Maryland.

National Capital Region Homeland Security Partners (Partners or NCR Partners): Refers to the Region's local, state, regional, and federal governments, citizen community groups, private sector, nonprofit organizations, and non-governmental organizations.

National Capital Region Homeland Security Strategic Plan (NCR Strategic Plan or the Strategic Plan): Refers to this document.

Objective: Attainable means of achieving a Goal.

Office for National Capital Region Coordination (NCRC): "NCRC oversees and coordinates Federal programs for relationships with State, local, and regional authorities in the National Capital Region. The Office's responsibilities include: coordinating Department activities relating to the NCR; coordinating to ensure adequate planning, information-sharing, training, and execution of domestic preparedness activities in the NCR; and assessing and advocating for resources needed in the NCR." (Source: DHS.gov)

Outcome Measure: "Outcomes describe the intended result or consequence that will occur from carrying out a program or activity. Outcomes are of direct importance to beneficiaries and the public generally." (Source: *Performance Measurement Challenges and Strategies*, OMB, June 18, 2003)

Output Measure: "Outputs are the goods and services produced by a program or organization and provided to the public or others. They include a description of the characteristics and attributes (e.g., timeliness) established as standards." (Source: *Performance Measurement Challenges and Strategies*, OMB, June 18, 2003)

Performance Measure: A parameter, indicator or metric that is used to gauge program performance. Performance measures can be either outcome or output measures. (Source: *Performance Measurement Challenges and Strategies*, OMB, June 18, 2003)

Performance Target: The quantifiable or otherwise measurable characteristic that tells how well a program must accomplish a performance measure. (Source: *Performance Measurement Challenges and Strategies*, OMB, June 18, 2003)

Preparedness: "The range of deliberate, critical tasks and activities necessary to build, sustain, and improve the operational capability to prevent, protect against, respond to, and recover from domestic incidents. Preparedness is a continuous process involving efforts at all levels of government and between government and private-sector and nongovernmental organizations to identify threats, determine vulnerabilities, and identify required resources." (Source: *NRP*, December 2004)

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

Protection: Actions to mitigate the overall risk to CI/KR assets, systems, networks, or their interconnecting links resulting form exposure, injury, destruction, incapacitation, or exploitation. In the context of the NCR Homeland Security Strategy, protection includes actions to deter the threat, mitigate vulnerabilities, or minimize consequences associated with a terrorist attack or other incident. Protection can include a wide range of activities, such as hardening facilities, building resiliency and redundancy, incorporating hazard resistance into initial facility design, initiating active or passive countermeasures, installing security systems, promoting workforce surety, and implementing cyber security measures, among various others. (Source, *NIPP*, June 2006)

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

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

Regional Emergency Support Function (R-ESF): "A very basic function shared by all jurisdictions. Individual R-ESFs identify organizations with resources and capabilities that align with a particular type of assistance or requirement frequently needed in a large-scale emergency or disaster. R-ESFs provide a convenient way of grouping similar organizations and activities from participating jurisdictions." (Source: MWCOG.org)

Regional Program Working Group (RPWG): Outcome-driven, accountable working group that develop and oversee programs and the associated projects within the NCR.

Risk: Risk is the product of threat, vulnerability, consequence, and likelihood of occurrence. (Source: *Interim National Preparedness Goal*, March 2005)

Senior Policy Group (SPG): "The Governors of Maryland and Virginia, the Mayor of the District of Columbia, and the Advisor to the President for Homeland Security established an NCR Senior Policy Group to provide continuing policy and executive level focus to the region's homeland security concerns. The SPG was also designed to ensure full integration of NCR activities with statewide efforts in Virginia and Maryland. Its membership was and is comprised of senior officials of the four entities, each with direct reporting to the principals. The SPG was given the collective mandate to determine priority actions for increasing regional preparedness and response capabilities and reducing vulnerability to terrorist attacks." (Source: MWCOG.org)

State Administrative Agency (SAA): An office designated by the state governor to apply for and administer funds under the Homeland Security Grant Program (HSGP). The SAA is the only agency eligible to apply for HSGP funds and is responsible for obligating HSGP funds to local units of government and other designated recipients. The designated SAA for the NCR UASI Grant Program is the District of Columbia, Office of the Deputy Mayor for Public Safety and Justice. (Sources: U.S. Department of Homeland Security, MWCOG.org)

Strategic Goals: The four Goals of the *Strategic Plan*: (1) Planning and Decision-making; (2) Community Engagement; (3) Prevention and Mitigation; and (4) Response and Recovery. Please see Chapter 1 and Appendix A for detailed information on the Strategic Goals.

Target Capabilities List (TCL): The *Target Capabilities List* provides guidance on specific capabilities and levels of capability that Federal, State, local, and tribal entities will be expected to develop and maintain. The TCL is designed to assist Federal, State, local, and tribal entities in understanding and defining their respective roles in a major event, the capabilities required to perform a specified set of tasks, and where to obtain additional resources if needed. Version 1.1 of the TCL identifies 36 target capabilities. (Source: *Target Capabilities List*, U.S. Department of Homeland Security)

Urban Area Security Initiative (UASI): A Department of Homeland Security grant program that "provides financial assistance to address the unique multi-disciplinary planning, operations, equipment, training, and exercise needs of high-threat, high-density Urban Areas, and to assist them in building and sustaining capabilities to prevent, protect against, respond to, and recover from threats or acts of terrorism." (Source: U.S. Department of Homeland Security)

Vision: The desired end state. The Vision and collective commitment of the NCR Partners is: "Working together towards a safe and secure National Capital Region."

Appendix I: Source Documents

Commonwealth of Virginia. *Self-Assessment Narrative for Department of Homeland Security Preparedness Directorate Information Bulletin #197.* January 2006.

Department of Homeland Security. *National Capital Region First Annual Report to Congress.* September 2005.

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Eight Commitments to Action. NCR Homeland Security Summit. August 5, 2002.

Emergency Management Accreditation Program (EMAP). *Regional Assessment Report.* April 28, 2006.

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Homeland Security Act of 2002 (Public Law 107-296).

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State of Maryland. *State of Maryland Hazard Mitigation Plan*, Volumes 1-3. September 2004.

State of Maryland. *Strategy for Homeland Security.* June 2004.

White House. *National Strategy for Homeland Security.* July 2002.

Testimony Before the Senate Subcommittee on Oversight of Government Management, the Federal Workforce and the District of Columbia; Committee on Homeland Security and Governmental Affairs

Securing the National Capital Region: An Examination of the NCR's Strategic Plan

Statement of Mr. Thomas Lockwood
Director, Office of National Capital Region Coordination
Department of Homeland Security

September 28, 2006

Testimony of Thomas Lockwood
Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia
Public Hearing on Homeland Security in the National Capital Region
September 28, 2006

Introduction

Mr. Chairman, Mr. Ranking Member and members of the Subcommittee, thank you for the opportunity to appear today to discuss the *National Capital Region (NCR) Homeland Security Strategic Plan* and coordination efforts within the Region. The last time we met, you had a number of questions and concerns regarding regional coordination for preparedness in the NCR, and you made a number of recommendations to improve and expand the regional *NCR Homeland Security Strategic Plan.*

Today, my colleagues and I will provide you with an update on the Region's progress. I am pleased to report that the centerpiece of this effort, the *NCR Homeland Security Strategic Plan*, has been completed. I should also mention that, throughout this effort, the Government Accountability Office (GAO) was kept apprised. Representatives from the NCR Senior Policy Group (SPG), including myself, met with GAO officials on several occasions to welcome GAO's advice and input, and to incorporate key recommendations.

With your permission, Mr. Chairman, I would like to join my NCR colleagues in submitting this *NCR Homeland Security Strategic Plan*, along with my written testimony, for the Record. This *NCR Homeland Security Strategic Plan* includes three documents: Volume I: Core Plan, which contains the overall strategy with Goals, Objectives, and Initiatives for the Region; Volume II: Appendices, which contains details on the Initiatives, as well as other resource materials; and an Overview document that summarizes key elements of the *NCR Homeland Security Strategic Plan.*

Completion of this *NCR Homeland Security Strategic Plan* represents a significant milestone. In reviewing other homeland security strategic plans—many of those supplied to us by the GAO—it became clear that the *Strategic Plan* before you today is unprecedented. For many reasons, the NCR is unique among this nation's metropolitan areas. Within the NCR's approximately 6,000 square miles is situated by far the largest concentration of government entities in the nation. This includes 14 state and local entities, along with all three branches of the Federal Government, and representation by almost all foreign governments. The NCR also has the largest concentration of not-for-profit organizations in the country—now estimated at 2,100. Moreover, like most other metro areas, the NCR has a thriving private sector that ranks 4th in size among metro areas. As you can appreciate, catastrophic events—whether natural or human-caused—respect no boundaries. When you couple this with the geopolitical complexities of the NCR, one begins to appreciate the daunting homeland security challenges this area poses.

Certainly this requires significant investment of resources. But equally important is the need for collaboration on an unprecedented scale. Significant resources, extraordinary collaboration, and a long-term plan to leverage these two assets effectively underpin the strategy for homeland security across the NCR.

The Strategic Plan

The *NCR Homeland Security Strategic Plan* lays out a three-to-five-year, Region-wide strategy for managing risk and strengthening homeland security capabilities within the NCR. It sets forth strategic Goals, Objectives, and implementation Initiatives to make the NCR safe and secure. Equally important in ensuring success is the means to gauge the region's progress and to make informed adjustments in the strategy along the way. The *NCR Homeland Security Strategic Plan* addresses the need for performance measures for use during implementation.

The NCR partners went to great lengths to align the details of the *NCR Homeland Security Strategic Plan* with a variety of important planning, guidance and assessment documents relevant to NCR homeland security, including some from the GAO and this body. While assessing risks, identifying vulnerabilities, and understanding their consequences are critical to determining *what* should be done, collaboration, coordination, and information and resource sharing are the principal means for *how* to build and sustain capabilities across the Region. The *NCR Homeland Security Strategic Plan*—along with other state, local, and national plans—serves as a roadmap for strengthening capabilities and enhancing capacity to realize the NCR partners' vision for a safe and secure NCR.

Engaging partners in this collaborative enterprise remains a strategic imperative. To get to this point, the Region continued the extensive stakeholder-driven process that has guided NCR homeland security preparedness efforts over the past few years. The Region continued to make enhancements and improvements to the 2005 *NCR Homeland Security Strategic Plan* framework about which NCR leaders and I testified last March. Throughout the development process, NCR jurisdictions used the Interim National Preparedness Goal, which emphasizes capabilities-based planning for national preparedness, to help guide the overall Initiatives contained in the *NCR Homeland Security Strategic Plan*. More recently, results from major programs and initiatives such as the Emergency Management Accreditation Program (EMAP) and the Nationwide Plan Review were incorporated to finalize the *NCR Homeland Security Strategic Plan*.

Earlier this year all of the jurisdictions in the NCR completed a regional assessment using the nationally-recognized EMAP standard, which is based on the National Fire Protection Association 1600 Standard on Disaster/Emergency Management and Business Continuity Programs. This was the first time the standard was applied in a regional context. In general, the process demonstrates that a jurisdiction, or, in this case, multiple jurisdictions, is aiming to use its resources to provide the capabilities that emergency managers nationwide agree are necessary to be prepared for and to respond to natural and human-caused disasters.

Additionally, in June, the Department of Homeland Security Nationwide Plan Review Phase Two Report was published. This provided a post-Hurricane Katrina assessment of the status of catastrophic planning for states, including the District of Columbia, and 75

of the nation's largest urban areas, including the NCR. The conclusions from this report, in addition to EMAP process mentioned above, were considered in the strategic planning effort and included within the *NCR Homeland Security Strategic Plan*.

Moving Forward

The *NCR Homeland Security Strategic Plan* is a major milestone in the regional approach to preparedness in the NCR, continuing to advance the Region's efforts as a model for intergovernmental, cross-jurisdictional, regional strategic planning. It has promoted and will continue to promote a more collaborative culture to sustain capabilities to respond to and recover from all-hazards events affecting the NCR. Execution of the *NCR Homeland Security Strategic Plan* in the future will enhance the NCR's coordinated approach for communication and interaction among stakeholders, and for more efficient prioritized funding for the Region.

All involved recognize the need to update elements of the *NCR Homeland Security Strategic Plan* on an annual basis to reflect changed. As specific threats and the nature of all-hazards events evolve, and as further risk and capability assessments are conducted, the *NCR Homeland Security Strategic Plan* will be amended and adapted as necessary.

These steps forward reflect a strong collaboration with our state and local partners. The *NCR Homeland Security Strategic Plan* provides the Region with a common framework to coordinate and implement initiatives that meet strategic objectives. The region will continue to strive toward fielding those capabilities necessary for a safe and secure National Capital Region.

Closing

Collaboration among NCR Partners continues to enhance the safety and security of this Region. Many challenges remain, but the *NCR Homeland Security Strategic Plan* provides a focus to guide regional efforts. Mr. Chairman, Mr. Ranking Member and members of the Subcommittee, I would again like to thank you for the opportunity to appear today to discuss the *NCR Homeland Security Strategic Plan* and coordination efforts within the Region. I look forward to continued communication and cooperation in this important undertaking. This concludes my statement. I am pleased to answer any questions you or members of the Subcommittee may have.

United States Government Accountability Office

GAO

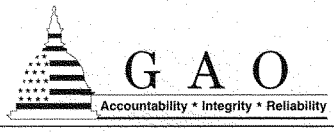
Testimony before the Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia, Committee on Homeland Security and Governmental Affairs, U.S. Senate

For Release on Delivery
Expected at 10:00 a.m. EDT
Thursday, September 28, 2006

HOMELAND SECURITY

Assessment of the National Capital Region Strategic Plan

Statement of William O. Jenkins, Jr.
Director, Homeland Security and Justice Issues



GAO-06-1096T

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Highlights

Highlights of GAO-06-1096T, a testimony before the Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia, the Committee on Homeland Security and Governmental Affairs, U.S. Senate

Why GAO Did This Study

Among other things, the Office of National Capital Region Coordination is to coordinate efforts within the National Capital Region (NCR) to ensure execution of domestic preparedness activities. In our May 2004 report and June 2004 testimony before the House Government Reform Committee, GAO recommended that the NCR develop a strategic plan to establish and monitor the achievement of regional goals and priorities for emergency preparedness and response. GAO subsequently testified on the status of the NCR's strategic planning efforts before the Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia in July 2005 and March 2006. The Subcommittee asked GAO to provide comments on the NCR's strategic plan, which the NCR partners approved in September 2006.

In this testimony, GAO discusses its assessment of the recently completed NCR homeland security strategic plan and the extent to which the new plan includes desirable strategic plan characteristics and how the substance of the plan might be further strengthened when the plan is reviewed and possibly revised.

What GAO Recommends

GAO includes no new recommendations in this testimony.

www.gao.gov/cgi-bin/getrpt?GAO-06-1096T.

To view the full product, including the scope and methodology, click on the link above. For more information, contact William Jenkins, Jr., 202-512-8757, jenkinswo@gao.gov.

September 28, 2006

HOMELAND SECURITY

Assessment of the National Capital Region Strategic Plan

What GAO Found

A coordinated strategic plan to establish and monitor the achievement of regional goals and priorities is fundamental to implementing a coordinated approach to enhancing emergency preparedness and response capacities in the NCR. In March 2006, GAO observed that the NCR's strategic plan could benefit from addressing all six characteristics GAO considers to be desirable for a regional homeland security strategy. These characteristics were used to evaluate the final plan. These include, for example, goals, subordinate objectives, activities, and performance measures; resources, investments, and risk management; and organizational roles, responsibilities, and coordination.

The NCR approved its strategic plan in September 2006. The NCR homeland security strategic plan includes all six characteristics we consider desirable for a regional homeland security strategy. To illustrate, the plan includes regional priorities and presents the rationale for the goals and related objectives and initiatives. This includes information on how the plan addresses national priorities and targeted capabilities from the National Preparedness Goal, an Emergency Management Accreditation Program assessment of local and regional preparedness and emergency management capabilities against recognized national standards, and DHS's Nationwide Plan Review of emergency plans. The plan structure is more streamlined, containing an overview, core plan, and detailed appendix with information on factors such as risks, costs, and roles and responsibilities.

However, the substance of the information within these six characteristics could be improved to guide decision makers. Two examples: (1) the plan does not reflect a comprehensive risk assessment for the region, which, when completed, may result in changes in some of the priorities in the current plan; and (2) although the NCR plan defines objectives as being key, measurable milestones for reaching each goal, many objectives include language such as "strengthen," "enhance," "increase," "improve," and "expand" rather than more specific performance measures and targets. Several of our observations regarding potential plan substance are the same as those we provided in our March 2006 testimony.

The NCR has made considerable progress in developing its first strategic plan. Although GAO has noted some remaining limitations and areas of potential improvement, the NCR strategic plan provides the basic foundation for regional preparedness, including what is needed in case of a catastrophic event. Now, the challenge is ensuring that initiatives to implement the goals and objectives are funded, completed, and appropriately assessed to determine if they have achieved the NCR's strategic goals while continually monitoring the plan's implementation to determine what adjustments are needed for continuing improvement.

Mr. Chairman and Members of the Committee:

I appreciate the opportunity to be here today to discuss the National Capital Region's (NRC) September 2006 homeland security strategic plan.[1] A well-defined, comprehensive homeland security strategic plan for the NCR is essential for assuring that the region is prepared for the risks it faces, whether those risks are from nature or human action. We reported on NCR strategic planning, among other issues, in May 2004 and September 2004, testified before the House Committee on Government Reform in June 2004, and testified before your Committee in July 2005 and March 2006.[2] In 2004 and 2005, we recommended that the Secretary of the Department of Homeland Security work with the NCR jurisdictions to develop a coordinated strategic plan to establish goals and priorities to enhance first responder capacities that can be used to guide the use of federal emergency preparedness funds—a recommendation that the department agreed to implement.

In March 2006, I commented on the status of the NCR strategic planning and again emphasized that the Secretary of the Department of Homeland Security should work with the NCR jurisdictions to quickly complete a coordinated strategic plan. To improve the plan's effectiveness as it was being developed, we provided six characteristics we considered to be desirable for a regional homeland security strategy. These characteristics included (1) purpose, scope, and methodology; (2) problem definition and risk assessment; (3) goals, subordinate activities, and performance measures; (4) resources, investments, and risk management; (5) organizational roles, responsibilities, and coordination; and (6) integration and implementation.

[1]The National Capital Region is composed of the District of Columbia and nearby jurisdictions in Maryland and Virginia.

[2]GAO, *Homeland Security: Management of First Responder Grants in the National Capital Region Reflects the Need for Coordinated Planning and Performance Goals*, GAO-04-433 (Washington, D.C.: May 28, 2004); *Homeland Security: Coordinated Planning and Standards Needed to Better Manage First Responder Grants in the National Capital Region*, GAO-04-904T (Washington, D.C.: June 24, 2004); *Homeland Security: Effective Regional Coordination Can Enhance Emergency Preparedness*, GAO-04-1009 (Washington, D.C.: Sept. 15, 2004); *Homeland Security: Managing First Responder Grants to Enhance Emergency Preparedness in the National Capital Region*, GAO-05-889T (Washington, D.C.: July 14, 2005); and *Homeland Security: The Status of Strategic Planning in the National Capital Region*, GAO-06-559T (Washington, D.C.: Mar. 29, 2006).

Today, my statement provides our assessment of the recently completed NCR homeland security strategic plan and the extent to which the new plan includes the six characteristics and how the substance of the plan might be further strengthened when the plan is reviewed and possibly revised. We did our work in accordance with generally accepted government auditing standards.

Summary

The September 2006 NCR homeland security strategic plan includes the six characteristics we consider to be desirable for a regional homeland security strategy. To illustrate, the plan includes regional priorities and presents the rationale for the goals and related objectives and initiatives. This includes information on how the plan addresses national priorities and targeted capabilities from the National Preparedness Goal,[3] an Emergency Management Accreditation Program (EMAP) [4] assessment of local and regional preparedness and emergency management capabilities against recognized national standards, and DHS's Nationwide Plan Review of emergency plans.[5] The plan structure is more streamlined, containing an overview, core plan, and detailed appendix with information on factors such as risks, costs, and roles and responsibilities.

However, the substance of the information within these six characteristics could be improved to guide decision makers. Additional information could be provided regarding the type, nature, scope, or timing of planned goals, objectives, and initiatives; performance expectations and measures; designation of priority initiatives to meet regional risk and needed capabilities; lead organizations for initiative implementation; resources

[3]According to DHS, the National Preparedness Goal establishes a vision for preparedness, identifies target capabilities, provides a description of each capability, and presents guidance on the levels of capability that federal, state, local, and tribal entities will be expected to develop and maintain.

[4]The EMAP is a voluntary assessment and accreditation process for state/territorial, tribal, and local government emergency management programs. Among other things, EMAP is intended to provide a structure for identifying areas in need of improvement and a methodology for strategic planning and justification of resources. EMAP uses national emergency management standards along with peer assessment teams to evaluate a program's activities. These standards are based on the National Fire Protection Association 1600 standard covering functional areas such as program management and hazard identification and risk assessment.

[5]The Nationwide Plan Review reviewed and assessed the status of catastrophic and evacuation planning in all states and 75 of the nation's largest urban areas. It also reviewed emergency operations plans for the nation's major cities.

and investments; and operational commitment. Two examples: (1) the plan does not reflect a comprehensive risk assessment for the region, which, when completed, may alter some of the priorities in the current plan; and (2) although the NCR plan defines objectives as being key, measurable milestones for reaching each goal, many objectives include language such as "strengthen," "enhance," "increase," "improve," and "expand." Several of our observations regarding potential plan substance are the same as those we provided in our March 2006 testimony.

Background

The Homeland Security Act established the Office of National Capital Region Coordination within the Department of Homeland Security.[6] The ONCRC is responsible for overseeing and coordinating federal programs for and relationships with state, local, and regional authorities in the NCR and for assessing and advocating for the resources needed by state, local, and regional authorities in the NCR to implement efforts to secure the homeland. One of the ONCRC mandates is to coordinate with federal, state, local, and regional agencies and the private sector in NCR on terrorism preparedness to ensure adequate planning, information sharing, training, and execution of domestic preparedness activities among these agencies and entities.

In our earlier work, we reported that the ONCRC and the NCR faced interrelated challenges in managing federal funds in a way that maximizes the increase in first responder capacities and preparedness while minimizing inefficiency and unnecessary duplication of expenditures. One of these challenges included a coordinated regionwide plan for establishing first responder performance goals, needs, and priorities, and assessing the benefits of expenditures in enhancing first responder capabilities.

All states and urban areas are to align existing preparedness strategies within the National Preparedness Goal's eight national priorities.[7] An

[6] 6 U.S.C. 462.

[7] Those priorities are (1) implement the National Incident Management System and National Response Plan; (2) expand regional collaboration; (3) implement the interim National Infrastructure Protection Plan; (4) strengthen information-sharing and collaboration capabilities; (5) strengthen interoperable communications capabilities; (6) strengthen chemical, biological, radiological/nuclear, and explosive detection, response, and decontamination capabilities; (7) strengthen medical surge and mass prophylaxis capabilities; and (8) review emergency operations plans and the status of catastrophic planning.

overarching national priority for the National Preparedness Goal is the embracing of regional approaches to building, sustaining, and sharing capabilities at all levels of government. DHS required states and urban areas, including the NCR, to assess their preparedness needs by reviewing their existing programs and capabilities and using those findings to develop a plan and formal investment justification outlining major statewide, sub-state, or interstate initiatives for which they will seek federal funding under the Homeland Security Grant Program. The target capabilities are intended to serve as a benchmark against which states, regions, and localities can measure their own capabilities. According to DHS, the funding initiatives are to focus efforts on how to build and sustain programs and capabilities within and across state boundaries while aligning with the National Preparedness Goal and national priorities.

In fiscal year 2006 DHS funding guidance, regional collaboration included specific implementation benchmarks. These benchmarks included (1) formalizing mutual aid agreements with surrounding communities and states to share equipment, personnel, and facilities during emergencies; (2) conducting exercises of the execution of mutual aid agreements to identify the challenges and familiarize officials with resources that are available in the region; and (3) coordinating homeland security preparedness assistance expenditures and planning efforts on a regional basis to avoid duplicative or inconsistent investments.

In earlier work on effective regional coordination for emergency preparedness, we defined regional coordination as the use of governmental resources in a complementary way toward goals and objectives that are mutually agreed upon by various stakeholders in a region.[8] In later work for this Committee on federal agency collaboration, we defined collaboration in a similar manner, defining it as any joint activity by two or more organizations intended to produce more public value than could be produced when the organizations act alone.[9] Successful coordination or collaboration occurs not only vertically among federal, state, and local governments, but also across jurisdictions within regions. In the coordination or collaborative effort, strategic plans can be effective tools to focus resources and efforts to address problems through features such as goals and objectives that are measurable and quantifiable.

[8]GAO-04-1009.

[9]GAO, *Results-Oriented Government: Practices That Can Help Sustain Collaboration among Federal Agencies*, GAO-06-15 (Washington, D.C.: Oct. 21, 2005).

By specifying goals and objectives, plans can also give planners and decision makers a structure for allocating funding to those goals and objectives. A well-defined, comprehensive homeland security strategic plan for the NCR is essential for assuring that the region is prepared for the risks it faces.

In advance of our March 2006 testimony, Office of the National Capital Region Coordination officials provided us with several documents that they said when taken as a whole constituted the basic elements of NCR's strategic plan, such as a November 2005 document containing information on NCR strategic goals, objectives, and initiatives and February and March 2006 documents related to homeland security grant program funding. In our testimony, we outlined desirable characteristics for a strategic plan based on past work.[10] The desirable characteristics, adjusted for a regional strategy, are

- Purpose, scope, and methodology that address why the strategy was produced, the scope of its coverage, and the process by which it was developed.
- Problem definition and risk assessment that address the particular regional problems and threats the strategy is directed towards.
- Goals, subordinate objectives, activities, and performance measures that address what the strategy is trying to achieve, steps to achieve those results, as well as the priorities, milestones, and performance measures to gauge results.
- Resources, investments, and risk management that address what the strategy will cost, the sources and types of resources and investments needed, and where resources and investments should be targeted by balancing risk reductions and costs.
- Organizational roles, responsibilities, and coordination that address who will be implementing the strategy, what their roles will be compared to those of others, and mechanisms for them to coordinate their efforts.
- Integration and implementation that address how a regional strategy relates to other strategies' goals, objectives and activities, and to state and local governments within their region and their plans to implement the strategy.

[10]GAO. *Combating Terrorism: Evaluation of Selected Characteristics in National Strategies Related to Terrorism*, GAO-04-408T (Washington, D.C.: Feb. 3, 2004).

The NCR Strategic Plan Contains Desirable Characteristics, but Additional Information Could be Provided

The plan's structure contains the six characteristics and related elements that we identified in earlier work as desirable in a national strategy that would also be useful for a regional approach to homeland security strategic planning. Instead of the multiple documents provided in advance of our March 2006 testimony, the plan is now one document with three parts—an overview, a core plan, and appendices with more detailed information. The core plan includes information on purpose, scope, and methodology; goals and objectives; problem definition and risk assessment; implementation and sustainment of the strategic plan, including organizational roles, responsibilities, and coordination; and alignment with other strategies and planning efforts. The appendix document provides extensive information on initiatives, including priorities, rationale, key tasks and programs, estimates of costs and cost assumptions, types of resources and investments, time frame, the lead organization responsible for each initiative, and performance assessment information, including measures, baselines, and targets. The plan will be reviewed and updated on a 3-year cycle.

However, the substance of the information within several of the six characteristics could be further strengthened as the plan is reviewed and revised to enable the NCR jurisdictions set clear priorities and sustain their collaborative efforts. As I will point out, several of our observations regarding improvements are the same as those we provided in our March 2006 testimony.

Plan Purpose, Scope, and Methodology

The first desirable characteristic is purpose, scope, and methodology—addressing why the strategy was produced, the scope of its coverage, and the process by which it was developed. Elements of this characteristic include, for example, what major functions, mission areas, or activities it covers; principles or theories that guided its development; and the process to produce the strategy.

The plan includes a section on purpose, scope, and methodology. For example, according to the strategic plan document, the plan is intended to provide a framework and guidance for programming, budgeting, and execution of homeland security programs in the NCR over the next 3 years and serve as the basis for planning for the next 5 years. Scope information discusses regionwide mission areas and initiatives and notes that the strategic plan is not an operational plan and is not a replacement for local and state emergency operations plan. Its purpose is not to be an investment plan and, therefore, does not allocate funding to any initiatives

or change the funding, budgeting, and resource allocation processes for individual funding sources.

The plan describes its development by the NCR Partners—a group consisting of the NCR's local, state, regional, and federal entities; citizen community groups; private-sector organizations; non-profit organizations; and non-governmental organizations. The plan describes the consensus-based process guided by the NCR's Homeland Security Senior Policy Group (SPG).

Problem Definition and Risk Assessment

The second desirable characteristic is problem definition and risk assessment—addressing the particular regional problems and threats the strategy is directed toward. Elements of this characteristic include, for example, a discussion or definition of problems, their causes, and operating environment, and risk assessment, including an analysis of threats and vulnerabilities.

Risk- and Capabilities-Based Approach

The plan describes the approach used to identify threats, vulnerabilities, and consequences of the risks facing the region. The plan focuses attention and resources on initiatives that address the highest risks for the region. The document states that numerous gap and shortfall analyses, conducted by the NCR's homeland security senior leaders and independent analysts, helped define the plan's four goals. Further, it is stated that each state jurisdiction also completed an extensive hazard analysis.

Although the plan states that a combined risk- and capabilities-based approach was used, it also recognizes the need for a more formal, in-depth risk assessment based on a common framework and includes a major priority initiative to meet this need.[11] The plan states that over the past few years, several vulnerability assessments have been completed for the NCR and its member institutions, but our assessment of the plan indicates that information from past assessments may not have been fully utilized. According to the plan, one initiative calls for the development of a NCR risk assessment methodology and a regionwide threat analysis, leveraging assessments and analyses to date conducted by the states, local

[11]According to the National Preparedness Goal, a capability provides the means to accomplish one or more tasks under specific conditions and to specific performance standards. A capability may be delivered with any combination of properly planned, organized, equipped, trained, and exercised personnel that achieves the intended outcome.

jurisdictions, and federal partners. Another initiative is to create a high priority list of recommended critical infrastructure protective actions based on security assessment findings already completed and shared with the NCR.

It is unfortunate that the strategic plan's goals do not yet reflect the completion and maintenance of a comprehensive, integrated risk assessment for the region. We noted in our March 2006 testimony that in the aftermath of the September 11, 2001, terrorist attacks and the creation of the ONCRC in 2003, we would have expected that the vast majority of risk assessment work should have been completed. An ongoing risk assessment methodology should be in place to identify emerging risks.

Capability Development

Until the new risk assessment is completed, the plan states the NCR is utilizing a compilation of regional gaps in capabilities, some the same as those identified in the EMAP assessment, considered alongside threat and impact factors, in developing strategic plan goals, objectives and prioritization of initiatives. These regional capability gaps included (1) standardized alert notification procedures; (2) regional mitigation plan; (3) regionwide strategic communications plan; (4) public information dissemination during all phases of emergencies; (5) inclusion of the private sector information in planning; (6) public–private coordination; (7) analysis of threats, vulnerabilities and consequences; (8) resource management and prioritization; (9) understanding of long-term recovery issues; (10) special needs considerations for response and recovery; (11) mass care; and (12) infrastructure.

The document states that the plan addresses the EMAP assessment recommendations and 54 of the 58 EMAP national standards. In addition, the National Preparedness Goal's 37 capabilities that federal, state, local, and tribal entities must achieve to perform critical tasks for homeland security missions served as a target in developing the plan's initiatives. In the plan, each regional initiative rationale identifies whether it addresses a national capability from the national target capabilities list, an EMAP standard, and/or an identified regional gap. Further, the plan states that it addresses all of the Nationwide Plan Review's overall emergency and catastrophic planning conclusions for all states and urban areas. in the nation. Other sources of information for the strategic planning included the National Capital Region Program and Capability Enhancement Plan, the Nationwide Plan Review, and the National Preparedness Goal and related target capabilities.

We are encouraged that the NCR plan emphasizes enhancing capabilities consistent with currently known regional capability shortfalls and others based on a variety of information sources. It is clear that a great deal of work has gone into identifying needed capabilities as part of the planning approach.

In revising the plan, NCR officials might consider two observations. First, although the plan recognized the importance of the Nationwide Plan Review's specific phase 2 findings for the NCR emergency plans and the status of catastrophic and evacuation planning, it did not reflect specific NCR findings. As you know, the review was conducted in response to the shortfalls in preparedness identified during Hurricane Katrina. A brief scorecard presenting Review NCR findings provided to us said that, overall, the DHS review found the NCR plan's adequacy, feasibility, and acceptability not sufficient to meet the requirements of a catastrophic incident. While the assessment found the NCR's resource management annex and communications annex sufficient to meet the requirements of a catastrophic incident, others were only partially sufficient or not sufficient, including the basic plan, direction and control annex, warning annex, emergency public information annex, evacuation annex, mass care annex, and the health and medical annex.

According to NCR officials, the assessment tools of the Review and the EMAP assessment were flawed because they focus on a single jurisdiction, not a multi-jurisdictional approach. In addition, the assessments assume that the entity under review is an operational jurisdiction which the NCR is not. NCR officials told us they found the reviews of limited usefulness because of this flaw. The officials said NCR states have individual state plan reviews that are more valid. However, they said the NCR addressed findings they thought were appropriate and useful and did focus on the national findings, which are included in the NCR strategic plan. If the plan was to include all sources of capability gaps, to guide problem definition and risk assessment, NCR officials should consider if it would be useful to describe the specific Review's findings for the NCR that the officials did accept, and align plan objectives and specific initiatives to those accepted findings.

Also, instead of referencing preparedness capabilities from different sources, it might be more useful for the plan to have one set of capabilities for action. This would integrate all sources of necessary capabilities (and their varying definitions) into a common set on which the region agrees, whether the source of the needed capability is national goal directives, assessment standards, or individual regional gap analysis. This integration

might also include remarks on the progress in developing a capability. While all of the capabilities may be important, it is unclear from the plan those capabilities are fully or partially developed and those that remain to be developed. Milestones and the priority designations at the initiative level provide an indication of progress, but it is difficult for the reader to understand what is the complete picture of the status of individual capability implementation.

Goals, Subordinate Objectives, Activities, and Performance Measures

The third desirable characteristic is goals, subordinate objectives, activities, and performance measures—addressing what the strategy is trying to achieve, steps to achieve those results, as well as the priorities, milestones, and performance measures to gauge results. Elements of this characteristic include, for example, a hierarchy of strategic goals and subordinate objectives and priorities, milestones, and outcome-related performance measures.

The NCR homeland security strategic plan includes the region's four long-term homeland security strategic goals and related objectives for the next 3 to 5 years. Specific initiatives are described for each objective, with cost estimates and performance measures for fiscal years 2007 through 2009.[12] The NCR's strategic plan vision, mission, goals, and objectives are shown in table 1. According to the document, each goal has equal standing.

[12]One milestone is targeted for completion for December 2010, but appears to be beyond the scope of the initiative where it appears, based on the initiative's description.

Table 1: NCR Homeland Security Strategic Plan Goals and Objectives

Vision	Mission
Working together towards a safe and secure National Capital Region	Build and sustain an integrated effort to prepare for, prevent, protect against, respond to, and recover from "all-hazards" threats or events
Goals	**Objectives for each goal**
Planning and Decisionmaking: A collaborative culture for planning, decision-making and implementation across the NCR	Strengthen the regional approach to homeland security planning and decision-making
	Establish an NCR-wide process to identify and close gaps using public and private resources
	Enhance oversight of and accountability for the management of investments and capabilities
Community Engagement: An informed and prepared community of those who live, work, and visit within the region, engaged in the safety and security of the NCR	Increase public preparedness through education campaigns and emergency messaging before, during, and after emergencies
	Strengthen the partnerships and communications among the NCR's public, civic, private, and NGO stakeholders
Prevention and Protection: An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events	Develop and maintain common regional standards for planning, equipping, training, operating, and exercising
	Strengthen the exchange and analysis of information across disciplines for improved situational awareness
	Employ a performance- and risk-based approach to critical infrastructure protection across the NCR
RESPONSE AND RECOVERY: A sustained capacity to respond to and recover from "all-hazards" events across the NCR	Develop and implement integrated response and recovery plans, policies, and standards
	Strengthen all components of an integrated regionwide response and recovery capability
	Improve and expand effective resource sharing systems and standards
	Identify and close gaps in long-term recovery capabilities

Source: NCR Homeland Security Strategic Plan.

Strategic Goals and Objectives

The four NCR strategic goals are defined as broadly stated long-term outcomes that, if reached, collectively enable the NCR jurisdictions to realize the NCR's vision. The objectives in the strategic plan are defined as key, measurable milestones along the path toward reaching each goal. Similar to performance goals under the Government Performance and Results Act,[13] the objectives should be based on the strategic goals and help to determine the achievement of strategic goals. For future plan assessments, NCR officials might consider developing strategic performance expectations where substantive action is needed and describe the full set of objectives needed to achieve planned goals.

[13]P.L. 103-62.

The plan describes an evolution of the strategic plan beginning with consensus building for close to a year (August 2004 to June 2005), initiative development for several months (June 2005 to November 2005), and program management and implementation for another 7 months (January 2006 to July 2006). However, Goal 1—covering planning and decisionmaking—has objectives to strengthen regional planning and decisionmaking, establish a process to identify and close preparedness gaps, and enhance oversight and accountability. It is unclear why these efforts over this amount of time have not produced well-established planning and decision-making processes and responsibilities. NCR officials should assess if future plans might focus on the remaining three goals that emphasize preparedness, prevention, protection, response, and recovery.

Further, the plan states that the 12 objectives presented in the plan are essential, but not necessarily sufficient to attain these goals. This raises the question of what is missing and what is the potential impact of the missing elements on achieving the plan's goals. The plan states that additional objectives will emerge to take the place of those already accomplished, but provides no further details of what might be sufficient now to meet the plan's goal. While any strategic plan is considered a "living" document, at the point of its initial issuance or revision, it should strive to be as complete as possible, particularly when the objectives are considered milestones toward the accomplishment of each goal.

Steps to Achieve Results

In addition to the plan's goals and objectives, initiatives to achieve the objectives complete the core of the NCR strategic plan. The plan identifies 30 initiatives, with 14 prioritized based on their alignment with and support of national priorities, DHS target capabilities, and regional gaps. The 14 priority initiatives, according to the plan, are to be considered first in line for implementation and funding, with the other initiatives considered secondary in terms of execution. In our March 2006 testimony, we noted that any future NCR strategic plan should include a review of initiatives to determine if the initiatives will fully meet the results expected of the objectives. The initiatives appear overall to reflect the objectives' general intent.

However, NCR officials might consider clarifying the plan's distinction between priority and non-priority initiatives in achieving the objectives. For example, goal 1 has four of its six initiatives labeled as priorities. These include initiatives such as developing and periodically updating the strategic plan and related processes and establishing regional oversight and accountability. The initiative under this goal to develop an investment

life-cycle planning approach to ensure infrastructure and resources are available to support multi-year operational capabilities was seen as a secondary initiative. The plan does not present a rationale for making this a secondary initiative when it can be argued that a functioning life-cycle investment process is essential to identifying and managing the resources needed to sustain key preparedness and response capabilities, once established.

Performance Measures

The NCR strategic plan contains a measure for each goal, measure(s) for each objective, and an initiative performance assessment consisting of a measure (performance indicator), current baseline performance, and performance targets. For example, the measure for goal 1 (planning and decisionmaking) is support for NCR plans and decisions among NCR partners and stakeholders, measured by a survey. The first objective's (strengthen the regional approach to planning and decision making) measures include (1) stakeholder satisfaction with the strategic plan as determined by survey and (2) NCR Partners' satisfaction with program plans as determined by survey. One initiative's (developing and updating the plan and related processes) measure under this objective is the time to develop and adopt a strategic plan with the baseline performance of 2 years and a target to be adopted by September 2006.

The NCR plan defines objectives as being key, measurable milestones along the path toward reaching each goal. Many objectives include language such as "strengthen," "enhance," "increase," "improve," and "expand." These objective statements have their own measures to define performance. For example, one current objective is "strengthen the exchange and analysis of information across disciplines for improved situational awareness." Its measure is "participants' after-the-fact informed ratings of their situational awareness during test and real events."

In our March testimony, we only addressed measurement at the initiative level. With three levels of measurement—goal, objective, and initiative, the NCR might further refine the measures for full measurement coverage and yet not duplicate measurement. For example, the goal 1 measure is virtually the same as the measures for objective 1.1 under the goal. The other two objectives' measures address implementation of countermeasures and satisfied performance commitments, which do not appear to be measured by the goal measure.

Further, measurement at the initiative level is very important as these serve as the means to achieve the objectives and, in turn, the strategic goals. In our March testimony, we stated that a NCR strategic plan could

more fully measure initiative expectations by improving performance measures and targets. The performance measures should readily lend themselves to actual quantitative or qualitative measurement through a tabulation, a calculation, a recording of activity or effort, or an assessment of results that is compared to an intended purpose. In our work on results management practices, we have found that leading organizations said they used a diversity of performance comparisons, depending on the goal, to set performance targets. The comparisons included (1) predefined performance specifications, (2) future performance levels or changes in levels to be achieved at a later date, (3) best practice benchmarks from other organizations, and (4) program implementation milestones.

Our earlier testimony also stated that a strategic plan could be improved by (1) expanding the use of outcome measures and targets in the plan to reflect the results of its activities and (2) limiting the use of other types of measures. The NCR strategic plan uses a variety of measures and comparisons at the initiative level, and I see this as a valuable approach for future strategic plans. The current strategic plan also has emphasized outcome measures. The NCR might consider reviewing the many output measures that remain, such as "regional emergency messaging tests per year," "number of registered volunteers," and "average hours of training per volunteer" to see if they might become more outcome-oriented.

While the new NCR strategic plan has markedly improved its initiative measures over those presented in documents in advance of the final plan, further attention may be warranted. For example, a few measures are not clearly defined or will be difficult to measure, such as "improvement in performance- and risk-based assessment results," "utilization rates for collaboration and information-sharing systems," and "proportion of desired information exchanges occurring." In addition, some measures do not assess the initiative. For example, one initiative is to "design and conduct a risk-based threat analysis to identify gaps in regional preparedness." The measure is "[Chief Administrative Officers Committee] rating on the usefulness of threat analysis in decision-making." This measure is essentially a general satisfaction survey. Two measures for the initiative for establishing a regional oversight and accountability function with appropriate tools and resources for performance accountability are "utilization rates for collaboration and information-sharing systems" and "Partners' awareness of NCR activity status." Neither of these two measures directly assess establishing an oversight and accountability system.

Milestones

In March, we said that a future NCR strategic plan could also be strengthened by including more complete time frames for initiative accomplishment, including specific milestones and having time frames matching the initiative. The new strategic plan has identified milestones for all key tasks and programs under each initiative, as well as overall timeframe within the strategic planning cycle. The specification of the milestone information helps the reader to better understand the sequencing of actions.

However, NCR officials may want to review the distribution of the milestones. The strategic plan's implementation time frame is for the period fiscal year 2007-fiscal year 2009. However, the strategic plan's initiatives are heavily weighted for completion by the end of fiscal year 2007.[14] Based on the milestone dates provided in the plan, 18 of the 30 initiatives are planned to be complete by that time and another 9 by the end of fiscal year 2008. A few initiatives appear to be close to completion based on completed milestones or those that will soon be completed. Their inclusion may reflect a desire to record accomplishments to date. For example, initiative milestones for objective 1 under goal 1 (planning and decisionmaking) reflect actions to be taken before September 2006 when the new plan was approved.

Resources, Investments, and Risk Management

The fourth desirable characteristic is resources, investments, and risk management—addressing what the strategy will cost, the sources and types of resources and investments needed, and where resources and investments should be targeted by balancing risk reductions and costs. Examples of elements for this characteristic include resources and investments associated with the strategy, sources of resources, and risk management principles.

In March, we testified that a future NCR strategic plan could provide fuller information on the resources and investments associated with each initiative. More specific cost information by initiative, such as funded and unfunded grant information, would facilitate decision making in comparing trade-offs as options are considered.

[14]We did not verify the accuracy of the milestones included in the plan document. Some milestone sequencing would indicate some dates are not accurate.

As mentioned earlier, the NCR strategic plan includes costs for each initiative. Cost estimates are stated in a rough order of magnitude, providing an estimate of the scale range of cost to inform the launch of individual initiative operational planning. The costs of the initiatives range from over $100 million to nearly $150 million, with some initiative cost data still in development. Data are also provided on resource investment and projects for each initiative. The plan states that funding source identification, investment justification, and allocation decisions will be made as a part of the implementation planning process. Funding source analysis and allocation is not part of the NCR strategic planning effort.

Building and sustaining the needed capabilities in the NCR will require the effective use of federal, state, and local funds. Identifying resource and investment information, including types and sources of resources—at least at a high level—would better define how initiatives will be funded and when. In the absence of such information, it is difficult to judge if the 30 initiatives, including those considered priorities, are likely to be implemented within the planned time frames. This is particularly important as the plan notes that due to recent action by the administration in allocating Urban Area Strategic Initiative fiscal year 2006 funds for the NCR ($46.5 million, rather than the requested $188 million), when and to what extent the NCR can implement the initiatives remains uncertain. The UASI funding decision was made several months prior to the approval of the strategic plan. Therefore, the plan should recognize that if the plan's initiatives are to be implemented on schedule, especially those with milestones in the coming year, NCR jurisdictions will need to contribute more than originally anticipated toward their completion.

Organizational Roles, Responsibilities, and Coordination

The fifth desirable characteristic is organizational roles, responsibilities, and coordination—addressing who will be implementing the strategy, what their roles will be compared to others, and mechanisms for them to coordinate their efforts. Examples of elements for this characteristic include lead, support, and partner roles and responsibilities; an accountability and oversight framework; and specific processes for coordination and collaboration.

Our March testimony noted that any future NCR strategic plan could expand on organizational roles, responsibilities, coordination, and integration and implementation plans. Organizational roles, responsibilities, and coordination for each initiative would clarify accountability and leadership for completion of the initiative. I also said the plan might include information on how the plan will be integrated with

the strategic plans of NCR jurisdictions and that of the ONCRC and plans to implement the regional strategy.

NCR Governance

The new plan's description of organizational roles, responsibilities, and coordination provides detailed information concerning NCR governance. The plan states that at the strategic level, NCR Partners review assessments of regional capabilities and develop a long-term homeland security strategy for enhancing prioritized capabilities. Additional overarching guidance, such as budget and policy documents, is also issued at this level to facilitate activities at the levels below. Regional priorities are formulated at the strategic level through an iterative process of consensus-building among representatives from the key stakeholders of the NCR, represented by three key governance groups: the Senior Policy Group (SPG), representing state-level interests; the Chief Administrative Officers Committee (CAO), representing local government level interests; and the Regional Emergency Preparedness Council (EPC), representing broader NCR stakeholder interests.

The plan states SPG membership consists of senior officials from Maryland, Virginia, the District of Columbia, and DHS and the Director for the ONCRC. The group exercises oversight of the implementation and funding process and determines priority actions for both increasing regional preparedness and response capabilities and reducing vulnerability to terrorist attacks. According to the plan, the SPG ensures full integration of NCR activities by providing final approval for programs within the NCR as well all projects within a program. The SPG oversees directors of the regional working groups in guiding the execution of their work on approved homeland security initiatives, programs, and projects. The SPG, it is said, is ultimately accountable for the impact of the work at the program level of the NCR. The Chief Administrative Officers are city and county-level administrators who serve on the CAO Committee on Homeland Security. They work in partnership with the SPG members on all strategic matters, operating more as a single unit. The CAO Committee, along with the SPG members, served as key architects of the strategic plan.

The plan describes the Regional Emergency Preparedness Council (EPC) as an advisory body established by the Metropolitan Washington Council of Government (MWCOG) Board of Directors and includes a broad array of representatives from each of the NCR's stakeholder categories. According to the plan, the EPC makes policy, procedural, and other recommendations to the MWCOG Board or through the MWCOG Board to various regional agencies with emergency preparedness responsibilities or

operational response authority. In addition, the plan notes representatives of the private sector have a critical advisory role in the region's strategic planning process. The private sector is represented on the Regional Emergency Preparedness Council, Regional Emergency Support Function Committees, and Regional Program Working Groups.

Lead Organizations

One element of the characteristic regarding roles, responsibilities, and coordination we recommended for a strategic plan is specifying who has lead, support, and partner roles and responsibilities. In the plan, a lead organization is identified for each initiative. According to the plan, the initiative leads are responsible for the definition, development, and enhancement of the initiatives. They are to provide oversight for the performance of the initiative against the goals and objectives.

In our view, the lead organizations are extremely important to the success of the strategic plan. However, the leads for the 30 initiatives are dispersed across multiple organizations, many of which are emergency support function groups, regional working groups, or the NCR's Homeland Security Grants and Program Office. It is not clear if these organizations have the authority, resources, or mechanisms to carry out all of their roles, responsibilities, and coordination duties in implementing the plan. For example, the plan describes the regional working groups as consisting of practitioners, policymakers, and representatives from both the civic and private sectors who have many duties, including filling gaps not covered by any of the existing regional emergency support functions. The Grants and Program Office manages grant performance, provides staff support for various working groups, and manages NCR processes relating to implementation and grant deadlines. These organizations may not be able to establish policies, procedures, and other means to direct initiative implementation. As the strategic plan is implemented, it may be useful for the NCR to carefully assess initiative leadership and make adjustments as necessary to ensure implementation of the plan.

Integration and Implementation

The final desirable characteristic is integration and implementation—addressing how a regional strategy relates to other strategies' goals, objectives, and activities, and to state and local governments within their region and their plans to implement the strategy. Examples of elements include, for example, horizontal and vertical integration; details on specific federal, state, local or private strategies and plans; and implementation guidance.

The document states that the strategic plan is but one part of a family of plans at the strategic, programmatic, budget, and operational levels existing within the NCR. The plan is intended to align jurisdictional strategy planning efforts with national efforts and provide a mechanism for NCR Partner input and guidance into jurisdiction programmatic and budgetary planning processes. The plan is intended to identify common goals, objectives, and initiatives implemented over the 3 to 5 years of the plan. One initiative is designed to align and integrate response plans across the jurisdictions, with emphasis on continuity of government, operations, and evacuation.

The plan document states that the plan does not (1) dictate how the NCR should spend its homeland security funds and (2) address operational level issues or require operational plans at the regional level. Although the plan does not directly affect the jurisdictional and emergency function operational plans (e.g., local hazard mitigation plans, emergency response) or address operational level issues, the plan is intended to influence specific capabilities resourced by the jurisdictions that support operational plans. According to the plan, detailed operational plans, where necessary, will be updated by initiative leads as the strategic initiatives are implemented.

The plan also states that the state homeland security investments made in the jurisdictions comprising the NCR must take into account their own regional considerations. The plan itself notes that the priorities for preparedness in the homeland security plans for Virginia, Maryland, and the District of Columbia reflect unique assessments of the threats and vulnerabilities across each jurisdiction and have varying strategic plan priorities. The annual review of the strategic plan is timed to correspond with the federal, Maryland, Virginia, and District of Columbia budget cycles, which should, according to the plan, facilitate the acquisition of funding for initiative projects. As the plan is implemented, the jurisdictions should, according to the plan, be able to determine their level of contribution and commitment to the achievement of the plan's goals and initiatives. The plan describes the commitment of District of Columbia, Virginia, and Maryland officials to a collaborative approach in eight

specific areas, which the plan states are addressed by at least one of the NCR strategic plan goals.[15]

For all initiatives, the plan document notes that the Emergency Preparedness Council will convene a quarterly performance review. In these sessions, each initiative lead will present the performance results of their initiative. Initiative leads will present their results compared with the pre-defined targets; analysis of results, trends, and root causes; and recommended actions to maximize performance. The Emergency Preparedness Council will discuss this information, make decisions, and issue direction to improve project performance as necessary. While an initiative is in the implementation stage, the review session is to serve as a project management aid, reviewing schedule and budget status versus milestones and exercising implementation management actions. When a plan initiative is completed, the document states its review will transition to an outcome-oriented performance discussion.

One of the plan's initiatives is to establish a regional oversight and accountability function with appropriate tools and resources for performance transparency. According to the milestones, NCR entities will report against the measures in January 2007 and performance reviews will be in March 2007.

As we testified in March, implementation of regional initiatives not covered by Homeland Security Grant Program funding likely would require NCR jurisdictions acting individually or in combination with others. If the plan is intended to align regional with state and local efforts through identification of common goals, objectives, and initiatives implemented by the jurisdictions over the 3 to 5 years of the plan, it is critical that jurisdictional plans reflect the regional goals, objectives, and initiatives. Although the plan notes that the District of Columbia, Virginia, and Maryland have a commitment to the eight critical areas previously mentioned, it is not known what the actual commitment is to all of the goals, objectives, and initiatives in the NCR plan.

Our work to date has not included an assessment of individual jurisdictional commitment or planned efforts to implement the NCR

[15]The eight areas are (1) decisionmaking, (2) information sharing, (3) infrastructure protection, (4) public health and safety, (5) mutual aid agreements, (6) joint "virtual" information center, (7) citizen corps programs, and (8) coordinated training exercises.

strategic plan goals, objectives, and initiatives to determine if unfunded initiatives, particularly those considered priority initiatives, might be addressed by one or more of the NCR jurisdictions. While the NCR strategic plan might guide or influence implementation of the initiatives, there is no guarantee state and local plans and related investments will respond to the initiatives. Even if the NCR jurisdictions initially commit to the plan's initiatives, with performance monitored by the Emergency Preparedness Council, there is no vehicle or central responsible organization with the authority to ensure implementation. Further work would be required to determine to what extent, if any, the NCR initiatives are addressed in other federal funding applications or individual NCR jurisdictional homeland security initiatives.

A major organizational and functional challenge noted in the plan is that the NCR is not organized as an operational entity and does not have the authority to execute operations as an independent body. The NCR's authority only exists, the plan notes, to the extent the member jurisdictions are willing to extend decision-making rights to the NCR. Under the plan, the SPG is to exercise oversight of the implementation and funding process and determine priority actions and the EPC is to do quarterly performance reviews.

However, if regional collaboration and building capabilities in line with the NCR goals are to become a reality, operational commitment is necessary. As I stated earlier, the Office of National Capital Region Coordination was created as a means of coordinating emergency preparedness and response efforts across the region. The ONCRC is to oversee and coordinate federal programs for and relationships with NCR state, local, and regional authorities. One ONCRC mandate is to coordinate with NCR federal, state, local, and regional agencies and the private sector on terrorism preparedness to ensure adequate planning, information sharing, training, and execution of domestic preparedness activities among these agencies and entities. A challenge for the ONCRC is to work with the NCR jurisdictions to provide effective oversight, accountability, and overall leadership and management of the various NCR governance entities such as the Senior Policy Group and Emergency Preparedness Council to continually assess the strategic plan's implementation and steps needed to keep implementation on track.

In addition, the Department of Homeland Security beyond the ONCRC has a role to play. As we noted in our work on regional coordination, the federal government can encourage regional coordination through its grant programs.[16] As DHS emphasizes regional coordination and capability building through implementation of the National Preparedness Goal, it can provide additional oversight to determine if regional strategic plans have specific and measurable goals and that resources are aligned to the goals.

Concluding Observations

As I stated when last before this Committee, there is no more important element in results-oriented management than the effort of strategic planning. Strategic planning defines what an organization seeks to accomplish, identifies strategies it will use to achieve desired results, and then determines success in reaching results-oriented goals and achieving objectives.

The NCR has made considerable progress in developing its first strategic plan. Although we have noted some remaining limitations and areas of potential improvement, the NCR strategic plan provides the basic foundation for regional preparedness, including what is in case of a catastrophic event. Now, the challenge is ensuring that initiatives to implement the goals and objectives are funded, completed, and appropriately assessed to determine if they have achieved the NCR's strategic goals while continually monitor the plan's implementation to determine what adjustments are needed for continuing improvement.

That concludes my statement, Mr. Chairman. I would be pleased to respond to any questions you or other Members of the Committee may have.

Contact and Acknowledgments

For questions regarding this testimony, please contact William O. Jenkins, Jr. at (202) 512-8757, email jenkinswo@gao.gov. Contact points for our

[16]GAO-04-1009.

Offices of Congressional Relations and Public Affairs may be found on the last page of this testimony. Sharon L. Caudle also made key contributions to this testimony.

Governments of
The District of Columbia,
The Commonwealth of Virginia,
The State of Maryland

National Capital Region's Homeland Security Senior Policy Group

Joint Responses to Questions for the Record
Edward D. Reiskin, Deputy Mayor for Public Safety and Justice for the District of Columbia
Robert P. Crouch, Jr., Assistant to the Governor of Virginia for Commonwealth Preparedness
Dennis R. Schrader, Director of the Governor's Office of Homeland Security in the State of Maryland

Securing the National Capital Region: An Examination of the NCR's Strategic Plan

Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia
Senator George V. Voinovich, Chair
Senator Daniel K. Akaka, Ranking Member

November 17, 2006

Questions from Senator Akaka

Mr. Chairman, Mr. Ranking Member, members of the Subcommittee, we are pleased to provide you with additional insight into the homeland security and all hazards program of the National Capital Region. It is our hope through answering your questions that you will gain a better understanding of how federal funds are applied to this program in our UASI region and others around the country.

1. What percentage of funding expended annually in the National Capital Region (NCR) are state and local funds and what percentage are federal funds?

Answer:

In order to answer the question it is first important to understand that we in the NCR look at the homeland security and all hazards program as an integrated capability to respond to, prevent, recover from, and mitigate the effects of any hazard, man made or otherwise.

As noted in the hearing by our colleague Tony Griffin, Chief Administrative Officer for Fairfax County, Virginia, the vast majority of funds spent on the homeland security and all hazards program in his county and in the NCR generally are state and local dollars.

In Fairfax County the annual local contribution to the program equals $500M. Elsewhere in Virginia, Alexandria, $140M; Arlington, $163M; Fairfax City, $22M; Fall Church, $632,000 Loudoun County $105M; Manassas $17.7M; Manassas Park $5.4M; and Prince William County $155M.

Across the river in Montgomery County, MD., $323M; in Prince George's County, MD., $497.7M; and the District of Columbia, $824M.

The total costs per year of this program in the NCR exceed $2.8 Billion per year, excluding capital. In FY 2006, the NCR received $46 Million via the Urban Area Security Initiative funds. Entities in the region also received funds via other Department of Homeland Security grant programs (e.g., transit security, state homeland security). At the $100M level, the percentage of federal contribution would be less than 3% of the total program.

2. It is my understanding that currently the NCR has a database which tracks only Urban Area Security Initiative (UASI) funds. Why doesn't the database track state and local funds as well?

Answer:

The NCR is a construct of state and local jurisdictions working together, in this case, to support the advancement of regional homeland security.

We established a grants and program management office to support this work. The office is charged, among other things, with managing the homeland security grants provided to the region as a whole (e.g., UASI). The regional homeland security program in its entirety is managed by the Senior Policy Group on behalf of the states and in coordination with the local jurisdictions.

The members of the Senior Policy Group are responsible for the programs in their respective states as well as their coordination across the NCR. As Cabinet-level officials in our respective states, we have full visibility into direct and indirect spending that supports homeland security in the region. Because of its inherently interdisciplinary nature, homeland security is funded via many sources and captured in many budgets. The owners of each of those budgets (e.g., emergency managers, police chiefs, health directors) are responsible for their budgets and for managing homeland security activities. They are ultimately accountable to us for achieving homeland security outcomes. We manage the overall programs, not the individual budgets. Through strategic planning, we establish the expectations, priorities, and direction, and then ensure the plans are executed.

Having said that, however, to date we have only tracked federal funds under the purview and control of the NCR Senior Policy Group allocated to projects to meet our strategic initiatives or to bridge the gap in our target capabilities. These have been exclusively UASI and SHSGP funds. We have used standard tools to capture and maintain this data; tools such as MS Excel.

The Government Accountability Office (GAO) cited the OHS SAA office in recent years in several reports stating that the administration, dissemination and distribution of the UASI grants has been deficient in the management of these UASI funds to the local jurisdictions. The GAO noted that more needs to be done to develop plans, monitor the use of funds, and assess against goals and standards to evaluate progress toward improved homeland security within the National Capital Region.

Earlier this year we began an initiative to capture more information about grant source and other fund source support for projects in the Region. The information provides additional levels of complexity in managing this information and we have begun to consider new tools for better managing this information.

We have directed the SAA to review the market for a management solution that will begin to address the GAO and Subcommittee concerns, help to streamline the grants management processes, and give the Senior Policy Group greater visibility into project and grants performance. Such a system will also allow us to capture other fund sources, including local or other fund sources so that we can assure that there is no duplication of effort.

Our review of the tools available to us is not yet complete. We do believe that we will have selected a tool set in the very near future and begin to populate it with the kind of data envisioned by all concerned.

3. What feedback or technical assistance have you received from the Department of Homeland Security (DHS) regarding the NCR's 2006 UASI application? Is there any information you believe you still need from DHS?

Answer:

At the start of the FY 2006 Homeland Security Grant Program process, the DHS Office for National Capital Region Coordination arranged meetings for us with senior DHS grants officials and technical assistance by the Department of Homeland Security for the development of the Program and Capability Review. Because the Department was undertaking a competitive process for the award of grant funds, it did not, as a matter of policy, offer any substantive assistance with the application.

Upon announcement of the awards, we received an eight-page document that outlined, but did not explain in detail, the basis for the award amounts. We subsequently received feedback from the peer review application evaluation process; but that feedback provided no meaningful level of detail.

Since that time we have also had several briefings from the Department's Office of Grants and Training about the specific risk methodology used and held discussions about the 2007 application process. We have held these discussions in conjunction with the All Hazards Forum held in Baltimore in early October along with other state members of the consortium and earlier in the summer at a conference sponsored by West Virginia focused on evacuation planning.

Recently, as a result of a letter we wrote the Secretary in February requesting a meeting to discuss the specific threat profile and risk assessment used by the Department in determining our 2006 allocation, and due to the persistent efforts of the Office of National Capital Region Coordination, we met with department officials from the Office of Grants and Training; the Risk Management Division; and the Homeland Infrastructure Threat and Risk Analysis Center (HITRAC) in an attempt to understand the Department's methodology and process as well as look at the data to substantiate our overall rating for 2006. The Infrastructure Protection division of DHS, along with the DHS Office of Grants and Training, is responsible for this methodology.

We must say, however, that we still do not have any specific understanding of our ranking against our peers that would guide us in the upcoming grant application process to greater success.

4. One of the reasons that the NCR Homeland Security Strategic Plan was delayed was because you wanted to incorporate lessons learned from Hurricane Katrina. Will you please tell us how the NCR's emergency management policies have changed as a result of what you learned from Katrina?

Answer:

Maryland, Virginia, and the District of Columbia all participated in the National Plan review at the initiative of the DHS Office for National Capital Region Coordination, and conducted extensive after actions reports on the region's response to Hurricane Katrina. Lessons learned from both of these exercises have been incorporated into our state and local emergency operations plans.

As an example, the District of Columbia Emergency Management Agency and our NCR partners are currently developing a mass evacuation and care plan for the NCR. The primary goal of this plan is to review the existing state and local plans and develop one cohesive plan using common templates and common formats to collect information across the region and generate a corrective action matrix that will prescribe improvements for regional evacuation and mass care plans.

We recognize that what happens in our region may affect areas outside of our geographic foot print. We have been working with the States of West Virginia, Pennsylvania, Ohio, Delaware, New Jersey, Kentucky, and North Carolina to make sure that they are part of the solution to any major catastrophic occurrence which might happen in our region. In the very unlikely event there was a need for a large evacuation of our region affecting these states or the rural parts of Maryland and Virginia we are working to assure that there is a coordinated response and capability that assures the maximum safety of our residents with a managed and hopefully minimal impact on our neighbors.

As we discussed with the Subcommittee during the hearing, the District Department of Transportation (DDOT) in coordination with other District agencies and its NCR partners conducted Operation Fast Forward II, an evacuation test, at the conclusion of the July 4th fireworks. The purpose was to test evacuation assumptions and strategies and to collect data during a Regional event that includes both heavy vehicular and pedestrian traffic. The test evacuation was successful and the lessons learned from this test will further enhance the NCR's evacuation capabilities.

Finally, we would like to draw attention to the fact that Hurricane Katrina brought home to every responder in this country the need and requirement to have improved our communications plans and capabilities in addition to evacuation plans. While the

NCR has been embarked upon a major voice interoperability program for several years and is currently able to communicate across and between jurisdictions, we have been motivated to continue to make this voice communications capability truly seamless and not reliant on patched systems or other software fixes.

To this end we want to let the Subcommittee know that Prince George's County, Maryland has recently approved a contract to bring their radio system into complete compatibility with systems throughout the region.

We remain committed to assuring that in time of extreme peril and everyday use to be able to communicate across the entire region.

5. How will the risk assessment that the NCR is planning to undertake, according to your testimony, differ from the risk assessment that DHS has already conducted in order to award homeland security grants?

Answer:

DHS did not conduct a risk assessment. The Department developed a system to award grants through a risk based method. The Department's methodology is a system to rank order states/territories. It is not designed to determine the totality of risk to a state or region. The output is not useful in determining strategies for managing the risks faced by the states. Its value to the Department is to produce a number for how states, regions, or territories stack up nationally in a comparison according to factors they used.

We are currently undertaking a Hazard Identification, Risk Assessment, and Impact Analysis to better understand and manage the risks to the NCR. Though this process we will assess the region's threats, vulnerabilities, and impacts and allow policy makers to prioritize mitigation and protection initiatives outlined in our Strategic Plan and to update the plan with new information.

Mr. Chairman, Ranking Member, members of the Subcommittee, we remain ready to answer any questions you may have regarding the homeland security and all hazards program of the National Capital Region.

Questions for the Record
Senate Homeland Security and Governmental Affairs
Oversight of Government Management, the Federal workforce and the District of Columbia Subcommittee
"Securing the National Capital Region: An Examination of the NCR's Strategic Plan"
September 28, 2006
NCR Director Thomas Lockwood

Questions from Senator Daniel K. Akaka

1.Exactly how many additional personnel will be added to the Office of National Capital Region Coordination (ONCRC) with the $1.5 million increase the ONCRC will receive in FY 2007?

Response: NCRC will receive two new FTEs, each funded for half of the fiscal year, per the President's FY 2007 budget request.

2.A recent Government Accountability Office report highlighted significant coordination problems between the various federal entities responsible for responding to nuclear and radiological threats. One of those entities, the Domestic Nuclear Detection Office (DNDO), is located within the Department of Homeland Security (DHS). What action has the ONCRC taken to ensure a coordinated federal response in the event of a nuclear or radiological attack in the NCR?

Response: There has been significant progress in synchronizing department and agency protection and response protocols, as well as improving the quality of information sharing on threats with the region's state and local governments and public safety entities. One of NCRC's new (half-year) hires is slated to assist in further coordination of various protocols, including those related to nuclear and radiological issues. Along these lines, NCRC coordinates meetings with DNDO, the DHS Science and Technology Directorate, the NCR Senior Policy Group, and the Homeland Security Institute, among others to explore lessons learned from recent pilot programs, to lay the groundwork for an effort that would identify the radiological and nuclear systems deployed by many agencies in the NCR, and to harmonize related protocols.

The Nuclear Incident Response Team (NIRT) assets, which include the Department of Energy's Nuclear Emergency Support Team (NEST), deploys at the direction of the Secretary of Homeland Security in connection with an actual or threatened terrorist attack, major disaster, or other emergency in the NCR. Additionally, NEST provides support to the FBI, which maintains a capability to conduct render safe operations of a weapon of mass destruction in the NCR.

Post-Hearing Question for the Record from\
Senator Daniel K. Akaka
Submitted to Bill Jenkins, Director
Homeland Security and Justice
U.S. Government Accountability Office

Besides updating the National Capital Region (NCR) Homeland Security Strategic Plan, what areas would you recommend the NCR focus on in the coming years to improve security in the Nation's Capital?

The NCR should focus on four things:

1. The region's ability to effectively prevent, prepare for, respond to, and recover from a catastrophic disaster. This should be a rigorous, clear-eyed assessment, focusing on the continuum from prevention to recovery and ensure participation of all who are stakeholders in improving security. For example, that will involve government entities across the region, and private sector and nongovernmental organization partners. The success of efforts to strengthen and sustain catastrophic disaster capabilities should re realistically tested, rigorously assessed, and an action plan developed to address any shortcomings identified. Exercises should involve all of those who would have responsibilities for some aspect of preparedness and, the response in an actual event. As part of this effort, the NCR should identify the sources of surge capacity for the region in the event of a catastrophic disaster that overwhelms the region's capacity to respond. The question is what resources are likely to be needed, given specific scenarios, and how would they be accessed and effectively deployed. There must be a commitment to and insistence upon a regional approach that clearly identifies and leverages the resources of all governmental and nongovernmental entities whose skills and resources are needed in preparing for and responding to a major or catastrophic disaster

2. Effective evacuation plans, realistically exercised, for the region. The 4th of July exercise that has been undertaken for 2 years is insufficient to effectively test the region's evacuation plans and capabilities. This event does not simulate the confusion, potential panic, and other difficulties that would accompany the need to evacuate all or a major portion of the area (e.g., the District of Columbia) in the event of a terrorist attack or other major disaster during a busy work-day. Evacuation plans and exercises need to consider a variety of region residents, including those who have (1) no means of transportation of their own, (2) limited English language skills; (3) physical impairments, including limited mobility, hearing, or sight; (4) medical conditions that inhibit or prevent their ability to evacuate on their own, such as nursing home residents and hospital patients; and (5) the receptivity of neighboring jurisdictions who will need to handle the evacuated population for a catastrophic event.

3. Effective information sharing among federal, state, and local law enforcement and first responders in the NCR. As we have seen from several prior incidents, in the event of a terrorist attack, such as via plane or other vehicle, the warning time may be extremely

short. Communications links and information sharing during an actual or threatened incident must work immediately and effectively so that resources can be rapidly and effectively mobilized to counter the threat or initialize the response.

4. .A commitment to fully implementing the strategic plan and updating it as events warrant. This involves a central focus on closely tracking progress in achieving the goals and related objectives through activities, measures, and milestones. In addition, central leadership should assess the actual results as goals and objectives are completed and decide if the goals and objectives remain appropriate as part of a rigorous risk-based decisionmaking process. Capabilities to achieve the goals should be constantly reviewed, including the capabilities of others that may be needed to support the region in the event of a major disaster,

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