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THE WAR ON TERRORISM: HOW PREPARED IS THE NATION'S CAPITAL?—PART II

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

MARCH 29, 2006

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THE WAR ON TERRORISM: HOW PREPARED IS THE NATION'S CAPITAL?—PART II

WEDNESDAY, MARCH 29, 2006

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

The Subcommittee met, pursuant to notice, at 2:35 p.m., in room SD–342, Dirksen Senate Office Building, Hon. George V. Voinovich, Chairman of the Subcommittee, presiding.

Present: Senators Voinovich, Warner, and Akaka.

OPENING STATEMENT OF SENATOR VOINOVICH

Senator VOINOVICH. The hearing will please come to order.

Gentleman, you don't have to stand up for us. I thought maybe you were standing up to get sworn in. Since you are standing I will swear you in. [Laughter.]

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

Mr. LOCKWOOD. I do.

Mr. REISKIN. I do.

Mr. CROUCH. I do.

Mr. SCHRADER. I do.

Mr. JENKINS. I do.

Senator VOINOVICH. One thing that many people are not aware of regarding this Subcommittee, is that we spend significant amount of time on issues dealing with the District. The issue before us today is one that is very important.

Today we meet for the second time this Congress to examine the collective ability of the governments and responsible authorities of the National Capital Region (NCR) to respond to a catastrophic event, be it a terrorist attack or a natural disaster. As the seat of the Nation's Government, the National Capital Region is a prime target for a terrorist attack.

We must do all that we can to prevent another attack to this region and the Nation, but as Hurricane Katrina demonstrated, we must also be prepared to respond to all types of hazards.

Since September 11, the NCR has received significant resources for equipment, training, planning, and other preparedness efforts. As the Senate Subcommittee that has authorizing jurisdiction over

all matters relating to the District, it is our responsibility to provide effective oversight to ensure that this region, which houses the Federal Government and is the symbol of freedom to the world, is well prepared to respond.

In addition, the full Committee and this Subcommittee have been involved in the development and refinement of the Department of Homeland Security and have worked closely with Secretary Chertoff in that regard. The Subcommittee has closely tracked the Secretary's Second Stage Review, offering assistance wherever possible. Last year, I cosponsored S. 21, Senator Collins' legislation, to help State and local governments and first responders receive Homeland Security resources in an efficient and timely manner and create a means of ensuring that essential capabilities required are met. We want to ensure the National Capital Region is a model of preparedness for the entire Nation.

The National Capital Region faces many unique challenges in its preparedness efforts. Because the region consists of Federal, State, and local jurisdictions, there is no single person or office in charge with the authority to order preparedness activities across the region. As a former governor and mayor, I understand the difficulties in bringing together many different players with limited resources to accomplish a common goal.

To address these challenges, the Office of National Capital Region Coordination with the Department of Homeland Security was established in the Act. The office was created to oversee and coordinate Federal programs and preparedness initiatives for State, local, and regional authorities. We need to ensure that this office and the other responsible governments of the region are effectively using their resources and adequately executing their responsibilities.

In June 2004, the General Accounting Office, the Government Accountability Office released a report which recommended that the Office of National Capital Region Coordination 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 emergency preparedness. It also recommended a mechanism to evaluate the effectiveness of expenditures by conducting assessments based on established standards and guidelines. I look forward to learning how the NCR has responded to the GAO recommendations.

I am pleased to hear that the Office of Homeland Security, within the District, has developed a web-based tracking system or program to manage and monitor the region's Urban Area Security Initiative grants. However, I do have concerns with the lack of information of non-UASI funding in this database.

In joint response by Virginia, Maryland, and the District to a question from the last hearing regarding the progress made on tracking Federal funds, the response was that the NCR is absolutely committed on coordination of all resources. I look forward to hearing how this program is working and if the region fully plans to implement the recommendations of GAO to track all grant funding.

Furthermore, I look forward to learning of the progress made with regard to the National Capital Region's strategic plan. In our first Subcommittee hearing in July 2005, Mr. Lockwood testified

that a final draft of the strategic plan had been circulated to key stakeholders and that it would be released in September 2005. Eight months later, and 6 months since the proposed release date, the region has yet to release a final version of the strategic plan. This is unacceptable, and we would like to know why the delay.

It is both urgent and critical that the National Capital Region develop an effective strategic plan to establish goals and priorities for the region. It is contrary to good management practices to proceed with large expenditures without a strategic plan. This delay has to be explained. Additionally, I strongly recommend that in the final development of the plan, the region officials take advantage of the assistance of GAO. The cooperation between the Office of Management and Budget and GAO on developing strategic plans to address high-risk programs can serve as a model in this regard.

Finally, I would like you all to provide the Subcommittee with a date for the completion of this plan and stick to it. I assure you that I will continue to monitor your progress, as well as Senator Akaka.

After the poor response to Hurricane Katrina, we saw the importance of establishing a clear chain of command before a catastrophic event occurs. Because the NCR has multiple entities involved with the security, it is imperative that we know who is in charge. I am interested in hearing how the NCR is addressing this issue as well as if you have assigned ownership of programs and response within your strategic plan.

Before concluding my remarks, I would like to recognize the hard work and dedication of those individuals who are collaborating between all levels of government, the private sector, and the nonprofit community to improve the safety of this region. I do not want anything said here today to say that we do not appreciate the hard work that all of you are doing.

As I stated in the last hearing, I offer whatever assistance I can to ensure you have the necessary resources to get the job done. If there is something standing in the way, something in terms of homeland security, we want to know about it. Don't we, Senator Akaka?

Senator AKAKA. Yes.

Senator VOINOVICH. I now yield to my good friend, Senator Akaka, for his opening statement.

OPENING STATEMENT OF SENATOR AKAKA

Senator AKAKA. Thank you very much, Chairman Voinovich. It is a pleasure to work with you on this Subcommittee. Today we follow up on the National Capital Region hearing that the Subcommittee held last July.

I would like to welcome our witnesses back to the Subcommittee, and also looking at those who are attending this, I want to welcome all of you, too. And, Mr. Crouch, you are the only new face here today, and we are happy to have you representing the Commonwealth of Virginia.

As you know, the security of the National Capital Region, which includes the District of Columbia and the surrounding counties in Maryland and Virginia, became a heightened priority after the attacks of September 11, 2001. To address this concern, Congress cre-

ated an Office of National Capital Region Coordination in the Department of Homeland Security to oversee and coordinate Federal programs and domestic preparedness initiatives for State, local, and regional authorities within the National Capital Region. Coordinating so many jurisdictions and levels of government is an immense challenge, yet we must ensure the NCR is able to function as a cohesive body in times of crisis.

Last July, I expressed my hope that the NCR will serve as a model for other urban areas as the country moves towards a more regionalized preparedness model. We saw during Hurricane Katrina the chaos and suffering that can result from insufficient coordination between different levels of government. Conversely, residents of Hawaii witnessed government coordination at its best over the past few weeks as Federal, State, and local officials worked together to mitigate flooding on the Island of Kauai.

The NCR presents far greater intergovernmental coordination challenges than anywhere else in the country because of the strong Federal presence in the District. Who responds, how they respond, and who is in charge of the response are questions that should be answered long before disaster strikes.

The lack of coordination between DHS and the D.C. Government was demonstrated by the handling of a breach of D.C. airspace by a small plane on May 11 of last year, and I think the Chairman alluded to that. Mayor Williams was not notified of the incident until it was almost over, approximately 40 minutes after DHS began tracking the plane.

At our last hearing, Mr. Reiskin testified that DHS and the District were working on communication protocols for major security incidents in the District. I am eager to hear how these protocols have been implemented and whether coordination has improved.

We should not forget that one of the reasons the DHS Office of National Capital Region Coordination was created in the first place was to facilitate Federal, State, and local communications in the NCR. Mr. Lockwood, you represent the Federal piece of the NCR, and it is your job to ensure Federal agencies work with the State and local authorities. I see this intergovernmental facilitation as one of the primary reasons DHS is part of the NCR.

I understand that NCR has conducted numerous planning sessions and meetings as a region, and I commend you for that cooperation. However, this Subcommittee has been concerned over the lack of having a Homeland Security Strategic Plan for the NCR.

Operational planning is good, but it needs to be guided by a strategic blueprint. I am disappointed that 4½ years after September 11 the NCR still does not have a strategic plan that all Members endorse.

GAO first alerted the NCR to the importance of developing a strategic plan almost 2 years ago, and at our July 2005 hearing each of you testified that a draft strategic plan was complete and a final version would be ready by September 2005. Today, 6 months after that deadline lapsed, a final strategic plan has yet to be completed. The people who live here, no question, deserve better than that.

I also would like to take this opportunity to discuss the NCR's ability to track homeland security spending by its member governments. The NCR needs to know what investments have been made in its region—this includes Federal and State funding—so as not to be duplicative with its Urban Area Security Initiative funds. This is not simply a bookkeeping exercise. I believe the NCR has made progress towards this goal, but it is my understanding that this capability has not yet been achieved.

I would like to thank each of you for your service. I recognize that your workload and responsibilities have increased significantly in recent years and your offices are all understaffed. However, I know you agree that ensuring the security of our Nation's capital must be top priority.

I look forward to your testimony and to continuing to work with all of you. Thank you very much, Mr. Chairman.

Senator VOINOVICH. I would like to point out to the witnesses that Senator Akaka and I did not coordinate our opening statements. But the fact that they were so much alike underscores our mutual concern about the planning.

We look forward to hearing what you have to say, and we are very fortunate today to have Thomas Lockwood, who is the Director of the Office of National Capital Region Coordination at the Department of Homeland Security; the Hon. Robert Crouch is the Assistant to the Governor for Commonwealth Preparedness for the Commonwealth of Virginia; the Hon. Dennis Schrader is the Director of the Maryland Governor's Office of Homeland Security; Edward D. Reiskin is the Deputy Mayor for Public Safety and Justice for the District of Columbia; and, finally, William Jenkins is the Director of Homeland Security and Justice Issues at the Government Accountability Office.

Mr. Lockwood, we will start with your testimony. I would like you to understand that we would like you to complete your testimony within 5 minutes. Your entire statement will be inserted in the record, and we are glad to have you here.

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

Mr. LOCKWOOD. Thank you all, and thank you for the opportunity to update you on the work that we have done since we talked to you in July.

Since July, we have made great strides in strategic planning of where we are and where we are going. Several times today you are going to hear the phrase either "partners" or "teammates." The region is diverse, and includes Maryland, Virginia, the District, the Executive, Legislative, and Judicial Branches, regional authorities, the private sector for profit and not-for-profit, and our international participants. We have made an active effort to integrate and bring these parties together.

[1] The prepared statement of Mr. Lockwood with attachments appears in the Appendix on page 33.

Our plan, the 2005 National Capital Region Strategic Plan [1] addresses this challenge by defining the priorities and objectives for the entire region without regard to any specific funding mechanisms, provides strategic guidance to the application and allocation of all homeland security and preparedness grants throughout the region, and provides input to the future internal planning, programming, and budgeting processes of the NCR jurisdictions.

The NCR homeland security partners have been absolutely dedicated to building a strategic plan. As a starting point, we have decided on and we have leveraged the foundational work from September 11 through today. This includes a 2002 Regional Emergency Coordination Plan; the Eight Commitments to Action in 2002 through the Governor and Mayor, and Advisor Ridge; the 2003 UASI Strategic Plan; the recommendations from the Chief Administrative Officers in 2004; and, again, working with the practitioners of the emergency support functions, even in 2005.

Additionally, the Federal documents that were foundational to our strategic plan were: The National Strategy for Homeland Security, the Department of Homeland Security Strategic Plan, Homeland Security Presidential Directives, the National Incident Management System, the National Response Plan, various templates, and various grant guidances. We have used these as an integrating framework between national and regional initiatives to build our framework.

From August 2004 to June 2005, we went through a detailed consensus-building phase. Through this phase, we decided to take an all-hazards approach. This was an extensive discussion. The leadership at all levels agreed that this should be an all-hazards approach.

One of the key foundational principles that we came to was strengthening regional coordination among all partners to gain synergy without weakening jurisdictional autonomy. That is a foundation for what we do in the NCR. How do we coordinate but recognize the organizational or jurisdictional distinctions between us; to prepare for all-hazards, to advance safety, to foster a culture of collaboration, respect, innovation, mutual aid amongst all of the partners, and to adopt best practices. These guiding principles help shape the vision, which is working together toward a safe and secure National Capital Region. Using these principles to guide planning within the context of the overall mission and vision, the leadership could then gain agreement on the high-level goals and objectives.

That initial development took place between June and November. Once the overall framework was established and agreed to during the NCR-wide strategic planning in June, we continued to work together through multiple groups. There were four core goal groups. Participants in these groups included Federal, State, local representatives, regional representatives, representatives of core practitioner groups, not-for-profits, civic groups, and private sector representatives.

[1] The "2005 Update to the National Capital Region Homeland Security Strategic Plan" appears in the Appendix on page 40.

We have continued to mature those goals through the Katrina time period and through the events that we had in the fall. These were framed out. In fact, having worked with these groups and targeting the November time frame so that the work was done prior to this grant cycle, we aligned priorities against the core capability task lists to define our priorities prior to this grant cycle. Those priorities align with both the national priorities and the regional priorities. Deputy Mayor Reiskin's section will explain in detail, how these priorities and initiatives were foundational for the process now and moving forward.

Our update, which has been available since, I believe, October on the Council of Governments web page, will contribute to the NCR's success by providing numerous important related benefits such as a more efficient allocation of resources throughout the region, transportation and funding priorities, and increased communication and interaction with our coordinating stakeholders.

This region has been actively engaged to develop out and to mature a strong framework across the multiple partners.

Thank you, sir.

Senator VOINOVICH. Thank you. Mr. Schrader.

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

Mr. SCHRADER. Mr. Chairman, Mr. Ranking Member, thank you for having us here today. I am going to focus on the strategic plan implementation and how we have gone about that.

Strategic Goal No. 1 talks about a collaborative culture for planning, decisionmaking, and implementation across the NCR, and there are six objectives within that goal that focus on risk assessment, identification of priorities, and gaps in the enhancement of our project delivery process to ensure accountability.

For the past 2 years, the NCR has focused on improving its execution of projects to create tangible outcomes, which you will hear from Mr. Crouch here in a minute. And the key to this is effective regional decisionmaking. There are probably 200 or 300 key stakeholders that we are coordinating with throughout the region, which at the meetings we held, there were probably 60 to 80 people at any one of these facilitated meetings. So effective regional decisionmaking and program management are keys to implementing this plan, which has multiple initiatives, programs, and objectives, of which 16—we have 45 initiatives that were identified—are key initiatives that are focused on as priorities in the grant process which Mr. Reiskin will talk about.

The Senior Policy Group has the responsibility for oversight of homeland security grant funding for each of the individual States and the urban areas on a day-to-day basis, so myself and John Droneburg from Maryland, as is the same in the other jurisdictions, we have day-to-day responsibility, and we track the overall—in Maryland, for example, we have $369 million in all categories, and then, of course, we have the $171 million from the NCR.

[1] The joint prepared statement of Messrs. Schrader, Reiskin, and Crouch appears in the Appendix on page 45.

In that vein, we have directed our State administrative agents to get together to start comparing information. That is happening. And then the States have to coordinate their programs together with the Federal Government and the local jurisdictions. And we do that working closely with the chief administrative officers and their practitioners through the Washington Council of Governments. But the other thing we have done since the last time we spoke to you which is very important, is we have created these regional program working groups, which are our people in the State enterprise who are doing this work on a day-to-day basis. So, for example, the key priorities, like critical infrastructure protection, intelligence, information sharing, interoperability, we have work groups that are organized that are accountable back to us so that we are getting integration between the State dollars that are being spent and the NCR dollars.

Moving on to program management, we are continuously improving our process to implement the strategy through the program management function that has been established. As I said, we have got $188 million in UASI, which includes a $13 million regional transit grant. We are paying particular attention to the expenditure rate as a first priority. The last time we talked to you, we had a 17.6 percent expenditure rate on the total dollars. It is now 39.5 percent, so we have put a lot of focus on driving that program process.

We believe that improving the project management process is critical to the implementation of the plan, and we are very focused on that.

I would like to also mention on these regional program working groups, that they have representatives from our States. So, for example, the individual who runs the critical infrastructure protection program in Maryland is the same person who is on the NCR group, so they are tied together. My colleagues in the District and Virginia have done the same thing, and it has led to things like, for example, WEBEOC, which is an incident management product that we piloted in Maryland. It is now being migrated into all the jurisdictions so we are able to talk to each other and integrate our operations centers. So there are very tangible outcomes.

Finally, the Office of National Capital Region Coordination has facilitated a working relationship with Joint Forces Command here in the NCR, which has been very productive. The Joint Forces Command is helping to coordinate the DOD and NCR capabilities. We are trying to figure out how to exercise together, and there are monthly meetings now hosted by the Joint Forces Command with Federal, State, and local officials to create visibility and prioritization of all the exercises in the NCR, which is no small task.

Finally, on the airspace incursion, I think Mr. Reiskin will talk about this, but since we have met last, the Domestic Events Network monitoring stations have been installed in the District in a couple of places, as well as the HSOC, and there has been significant improvement in that over the last year—or almost a year.

So I will stop there, and I would just say that we believe that program management, which is a hallmark of DOD program management and strategy implementation, is our objective, and we are

going to drive to continue improving that process to satisfactorily meet our expectations.

Thank you, Mr. Chairman.

Senator VOINOVICH. I will now call on Mr. Reiskin.

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

Mr. REISKIN. Thank you, Mr. Chairman and Ranking Member Akaka.

You heard from Mr. Lockwood about the extensive strategic planning process that we went through both before and subsequent to the last hearing, and that did get us to a point by last fall where we had a consensus on a vision, mission, goals, objectives, and priority initiatives.

You also heard from Mr. Schrader, who described how we matured our processes and relationships such that all stakeholders—State, regional, local, Federal—leverage and complement each other to support the intensive program management structure needed to manage such a significant enterprise, which is what Mr. Schrader just referred to in his closing.

So to pick up from where they left off, I want to bring you forward to the present to explain how our work in recent months follows from and supports our strategic plan.

We met with members of your staff last December shortly after having received the fiscal year 2006 homeland security grant program guidance. Although the guidance was developed for a specific set of grant programs, it did contain an element designed to look more broadly beyond the grant program. The enhancement plan, which was a part of the application process, as I understood it when we met with your staff, would provide for enhancing our capabilities, not limited to single grant funding sources or a grant performance period. While it did take that broader perspective, as we went through the process, it did not get us to the level that GAO recommends, and that we are striving for in terms of specific outcomes, milestones, and performance measures for each of the program areas.

That process, the enhancement of the planning process, started with the identification of priority capabilities for the region that we added to national priorities that were designated by the Department of Homeland Security. Using our recently completed strategic plan as a guide, the State and local leadership of the region identified six capabilities that represented the region's priorities, so those came directly from the strategic plan.

We then tasked regional working groups with undertaking capability reviews of each priority capability, which led to the completion of the enhancement plan. That plan, while rich in depth with regard to our capabilities, is not an implementation document. In other words, again, it does not specify outcomes, milestones, and performance measures, nor does it identify the implementing parties, specifically. It did, however, serve its purpose as a basis, that

[1] The joint prepared statement of Messrs. Schrader, Reiskin, and Crouch appears in the Appendix on page 45.

was framed by the strategic plan for the leadership, allowing them to develop its proposal for the 2006 grant applications.

As Mr. Crouch will discuss, we are now refining work in each of those priority capability areas—we have 14 of them—which we will fold back into the implementation aspect of the strategic plan. So the enhancement plan work will support the broader need, in other words, beyond the current UASI grant, and will help flesh out many, though not all, aspects of the strategic plan.

Our written testimony provides a lot of detail on the process, and we have provided the outcomes of that process to your staff. But before turning it over to Mr. Crouch, I do want to summarize where we were and where we are.

We had been undertaking our strategic planning process with all the key regional stakeholders for some time when the Department of Homeland Security issued strategy guidance last summer. We then endeavored to adjust our process to come in line with that guidance.

Then in December, just 2 weeks after we had completed the first major phase of our strategic planning process, the Department issued its grant guidance, which, while not completely unexpected, represented a significant departure from previous guidance and the processes needed to support them.

The new guidance was firmly grounded in the National Preparedness Goal, which is a good thing and something that we in the region very much support. It did, however, cause us to reorient, because although our strategic plan was developed fully mindful of the National Preparedness Goal, it did not use that goal as its framework.

So using our strategic plan to provide the strategic direction, we then had to begin a completely different process in order to execute the grant application in order to align with the priority capabilities, which then led to the development of the enhancement plan that I referenced. That plan did flow from our strategic plan and was worked essentially by the same people, those folks in the room that Mr. Schrader referred to. More or less the same people who worked on the strategic plan are the ones who then worked on the enhancement plan. The enhancement plan, however, is a very different orientation than the four goals of our strategic plan.

But with the enhancement plan now, we have gone a level deeper and with a different orientation that we will now fold back into the maturation of our strategic plan into an implementation document, as Mr. Crouch will now describe.

Senator VOINOVICH. Thank you. Mr. Crouch.

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

Mr. CROUCH. Thank you, Mr. Chairman and Ranking Member Akaka.

[1] The joint prepared statement of Messrs. Schrader, Reiskin, and Crouch appears in the Appendix on page 45.

Mr. Reiskin spoke to where we have been and where we are now, and as the newest member of this panel, it is my pleasure to speak of the direction in which we are going. I think it is significant, as the Chairman noted, that both the Chairman and the Ranking Member made reference to the National Capital Region serving as a model for the Nation. It has impressed me in the 2½ months that I have been in my current position that commitment strongly exists among all of the participants at the local, State, and Federal level involved in the National Capital Region efforts.

Certainly critical to that is our finalization of a strategic plan. I have been asked by my colleagues to share with the Chairman and the Ranking Member that it is our intention to have that final strategic plan completed no later than August of this year. Incorporated into that final strategic plan, which we will use as our guide for the coming years in working with our local, State, and Federal partners, will be several efforts that are ongoing currently. One is a detailed, rigorous assessment of preparedness levels by our local partners and State partners entitled the "Emergency Management Accreditation Program." This reviews emergency operations at all levels. It is a nationally accredited plan, one in which only eight States have actually received accreditation, and we will be applying the results of that exercise in the final strategic plan, which we will have complete by August.

Additionally, we will also fold into the final strategic plan the results of the President's and Congress' direction for a nationwide plan review. That effort will be completed in time to be rolled into the strategic plan as well.

We would like to share with you some of the tangible accomplishments that have occurred within the National Capital Region since this group met with you last in July 2005. We have begun building an interoperable communications platform, which will provide secure, non-commercial, restricted access to critical region communications networks for both high-speed fiber optics and wireless broadband mobile communications. This platform will ensure that the infrastructure is in place for facilitating real-time, any-time data communications within the National Capital Region. The first stage of this effort, which will incorporate all the jurisdictions out to the Beltway, will be completed by January 2007.

We have developed an electronic surveillance system called ESSENCE for the early notification of community-based epidemics. ESSENCE uses both traditional and non-traditional data such as a hospital emergency room chief complaints, military outpatient encounters, physician office visit claims, and over-the-counter medication sales to display potential epidemiological anomalies.

We have completed the National Capital Region Surge Capacity Concept of Operations Plan to determine the available hospital beds throughout the Maryland, Virginia, and District of Columbia hospitals that would be available in the event of a critical event, again, applying our all-hazards approach to these issues.

We are currently linking, as Mr. Schrader indicated earlier, all emergency operation centers within the National Capital Region and installing a common communication/emergency operation software—WEBEOC.

Each jurisdiction within the National Capital Region has been supplied with an electronic citizen notification system, and we have purchased a second round of turn-out gear for all firefighters within the National Capital Region, thus allowing the individual firefighter to continue to function, even if the first round of gear is contaminated during an incident.

As we move forward with our completed strategic plan seeking to be the model of the Nation, our goal is to demonstrate that in the complicated layering of government—local, State, and Federal—across jurisdictional lines in the National Capital Region, perhaps unparalleled elsewhere in the Nation, that if we can get it right here, our comrades throughout the country can also use this as a template to approach their efforts and cooperation.

We also, as we move forward, appreciate the resources that this Committee and others have extended to us and would like to reiterate the continuing need particularly for Emergency Management Preparedness Grant funds to supply the resources we need to do this work. Thank you, gentlemen.

Senator VOINOVICH. Thank you. Mr. Jenkins.

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

Mr. JENKINS. Chairman Voinovich and Ranking Member Akaka, I appreciate the opportunity to be here today to discuss the status of strategic planning for emergency preparedness in the National Capital Region. Effective strategic planning is essential for setting clear goals and priorities, guiding the effective use of resources, and measuring success and achieving targeted levels of preparedness for all types of major emergencies, including catastrophic events, whether the result of nature, accident, or deliberate action.

A well-defined, comprehensive strategic planning for the NCR is an essential part of assuring that the region is prepared for the risks it faces. The Office of National Capital Region Coordination has worked closely with NCR member States, local jurisdictions, and nongovernmental entities to establish collaborative working relationships and processes for assessing emergency preparedness needs and developing a strategic plan for the region. Such collaboration and stakeholder input and buy-in is important. However, there is still not a completed strategic plan for the region, and according to the NCR, completion of the plan will require integrating information and analyses from other documents, which the other witnesses have described, that are completed or nearly complete.

A November 18, 2005, NCR presentation describes the NCR's vision, mission, goals, objectives, and priority initiatives. This document contains some elements of a good strategic plan, including some performance measures, some target dates, and some cost estimates.

On March 14, the NCR provided us with copies of additional documents that officials said were to be incorporated into the strategic plan. Not yet available was the completed assessment of the NCR

[1] The prepared statement of Mr. Jenkins appears in the Appendix on page 62.

and its individual jurisdictions using the Emergency Management Assessment Program criteria.

The majority of the documents provided to us were developed in response to DHS requirements such as the National Preparedness Goal and in support of the NCR's fiscal year 2006 homeland security grant application. NCR's investment justification in support of its fiscal year 2006 grant application includes 12 of the NCR priority initiatives as identified in the November 18 core planning document. These investment justifications include such initiatives as mass care and citizen preparedness and participation. However, not all of the 12 individual investments in the grant application were among the region's priorities.

For example, strengthening interoperable communications is a national priority, and a regional priority, but it was not included in the 16 priority initiatives that the NCR identified in November 2005. It is important and necessary, of course, that the NCR address national priorities and goals in its strategic plan, but it is equally important and necessary that a final strategic plan clearly integrate national goals, priorities, and requirements with regional goals, priorities, and requirements.

The plan should be based on an assessment of the risks the region faces and the capabilities needed to reduce those risks. The documents we received have no discussion of those two elements.

A completed strategic plan that builds on the November 18 presentation should review, strengthen, and clarify the following core elements of a strategic plan: It should clearly identify initiatives that will accomplish the objectives of each strategic goal; include performance measures and targets that indicate how the initiatives will accomplish the objectives; include milestones and target dates for accomplishing individual initiatives; include specific information on the resources and investment for each initiative; and it should also clearly identify organizational roles and responsibilities for coordination, integration, and implementation of the plan, including clear assignment of accountability for implementing specific initiatives.

It is also important that the NCR plan identify how it relates to, and leverages, the efforts and resources of the District, Maryland, Virginia, and individual local member jurisdictions. We appreciate that a regional approach to emergency preparedness has not been the historic norm in the NCR or elsewhere. Emergency preparedness has largely been approached as the responsibility of individual local jurisdictions supplemented with mutual aid agreements.

We also recognize that a strategic plan, once initially completed, is a living document that requires continual reassessment as risks, capabilities, and resources change. But before the plan can be fully assessed, it must first be completed.

Senator VOINOVICH. Thank you very much.

Mr. Reiskin, you are the deputy mayor in charge of preparedness, correct? You are appointed by the mayor?

Mr. REISKIN. That is correct.

Senator VOINOVICH. The District is going to have an election in November.

Mr. REISKIN. That is correct.

Senator VOINOVICH. You are knowledgeable about the NCR. I think all of you should recognize that if there is a change in leadership, Mr. Reiskin may not have his job. It is important that you take advantage of the fact that we have got some time, but not a whole lot. I just bring that up.

Mr. Crouch, you have been in your job for 2½ months?

Mr. CROUCH. Yes, sir.

Senator VOINOVICH. Your predecessor is now working for the Department of Homeland Security.

Mr. CROUCH. Yes, sir. My predecessor, George Foresman, is now Under Secretary for Preparedness for the Department of Homeland Security, yes, sir.

Senator VOINOVICH. Obviously recognized for his background. We welcome you to the team.

Mr. Jenkins, a very simple question is: Do you think that it is possible for the NCR to effectively manage Federal homeland security funds and be adequately prepared for a catastrophic event without a collaboratively written final strategic plan?

Mr. JENKINS. In a word, no.

Senator VOINOVICH. If we had a natural disaster or terrorist attack today, the NCR would be at a disadvantage because the strategic plan is not in place?

Mr. JENKINS. Well, I think it is hard to say how disadvantaged. In a sense, I think it is a question knowing in what way they would be disadvantaged. As I said, the real issue is identifying the risks that you face and the capabilities that you need to be able to address those risks. And in the documents that we have got, there is very little discussion of the risks that are faced or the capabilities that are needed. There is a lot of discussion of particular initiatives, of particular activities, of particular projects, but it is not easy with the documents we have to figure out what they add up to.

Senator VOINOVICH. So it is risks and capabilities. Those of you that are charged with the responsibility of coordinating the NCR, do you understand those things that GAO says are missing? And are you responding to them? In other words, Mr. Jenkins, have you communicated to the NCR what GAO thinks should be in the plan? I encourage the NCR to use GAO as a valuable resource in developing their plan.

Mr. LOCKWOOD. Mr. Chairman, if I may?

Senator VOINOVICH. Yes.

Mr. LOCKWOOD. The working group here between Maryland, Virginia, the District, and DHS has worked collaborately—we have worked together as a matter of course, just building out the documents, but we have also opened up the process to GAO to share all of the documents we have. It is not as though we are providing finished, copied, or camera-ready documents to GAO. We have opened up our internal working process and our internal working documents to GAO, which show exactly what we are doing.

GAO has been very open with the things that they expect to see in a strategic plan to help us shape our requirements and our phases as well. We have asked GAO to provide recommendations of what they see or what they want to see in strong, guiding strategic plans.

Senator VOINOVICH. Can you give us a date as to when you believe that you will be able to announce that the plan is completed?

Mr. REISKIN. In our testimony, Mr. Chairman, we reference August of this year, August 2006, as when we believe that we will have the strategic plan done to the level that both we—and we do agree with the GAO, that we are comfortable with in terms of having adequate specificity in terms of milestones, performance measures, accountable parties. Of our strategic plan, we have identified 16 priority initiatives, and all of those by August will be developed with all of those elements as prescribed by the GAO. And as we have discussed with GAO, we welcome their input as we continue to develop this.

Senator VOINOVICH. I should point out that you did not give GAO the documents until March 14.

Mr. Jenkins, do you think that this August date is reasonable?

Mr. JENKINS. It is a little bit difficult for us to say. They do have these other documents that they need to meld into it. I think they do need an overarching statement of risks and capabilities that they are aiming for, and at least in the documents that we got, that seems to be missing. And I think that is an important component of the plan that is not in there now.

Senator VOINOVICH. Do you understand that, that he wants risks and capabilities? That is a big area.

Senator Akaka.

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

I would like to note that I am directing my questions on the strategic plan to Mr. Lockwood because his testimony focused on the plan. However, I would like to invite any of the NCR representatives to answer the following questions as well.

Mr. Lockwood, I want to clarify a few things in your testimony. First, you mentioned that you are working on an update to the NCR-HLS strategic plan. To me, this implies that a strategic plan exists. I want to make sure we are clear. The document entitled "NCR Plenary Session," dated November 17, 2005, is this the document that you are referring to as the strategic plan?

Mr. LOCKWOOD. On the website in September, we published the visions, the goals, and the guidelines. The document that you see, the November document, is a much more detailed level, including the accountability, the goals, and the measures.

One of the things that the region felt very strongly about was their strategic plans, even though they did not meet the GAO criteria, they continued to build upon and leverage the previous agreements that they came to. The region agreed that this should be an update of the regional strategic plan.

Three core pieces need to be folded in and we made the decision to hold off until these three pieces were done:

One, the national review following Katrina, the review of the catastrophic planning indexes needed to be done by the State, territories, District of Columbia, and all 75 major urban areas. That is taking place now. Two, the enhancement review that you saw through the Urban Area-Security Initiative and SHSGP money, is also taking place.

Last, the EMAP assessments, as we look at those core major foundational projects, they will have much more detailed level that need to be shaped and integrated into the strategic plan itself.

Senator AKAKA. One question about the document previously mentioned, Mr. Lockwood. Is there a reason the document is not labeled "Draft NCR-HLS Strategic Plan"?

Mr. LOCKWOOD. The document that you have in front of you is actually from the plenary session, where we had a host of Federal, State, and locals, to review work that the individual groups worked on from July through November and to agree on the framework points for the UASI section, the next session. That document will continually be updated. That document was also a core reference point for driving the priorities for this year's grant process.[1]

Senator AKAKA. When you appeared before the Subcommittee in July 2005, you testified that the NCR had completed a draft strategic plan. Can you tell me how that document differed from the NCR Plenary Session document?

Mr. LOCKWOOD. The vision, mission, goals, objectives, the guiding principles have been consistent. The framework that we had hoped to publicly announce and we had released on the websites back in September, in fact, was done. The detailed levels to guide the spending, the performance levels, the roles, the responsibilities, target milestones, the key content that GAO is looking for in a strategic plan, was not matured enough, and it took us several weeks and several comprehensive meetings just to break out the pieces that you see in that November plenary session.

Senator AKAKA. As I looked through your testimony, I found your timeline for the strategic plan development confusing. You said that the consensus-building phase lasted from August 2004 through June 2005, and the initiative development phase lasted from June 2005 to November 2005. Yet when you testified before the Subcommittee in July 2005, you said that you had completed a draft strategic plan and that the final plan would be done in September 2005. When did your timeline change? And why?

Mr. LOCKWOOD. There are a couple of key pieces in this. Again, the vision, mission, goals, objectives, principles have been fairly consistent as we were boiling these down and driving consensus across those. By summer, those were pretty well completed. The core problems that we have is at the detailed level and detailed agreement on who has which responsibilities, who are the supporting organizations, what are the resources required to deliver those.

The consensus process around the details takes much longer to do. The other complicating fact is that the people that are executing the programs are also doing the strategic planning. Thus if there is a major event or if there is a major break in the workload to do an event, we stop the strategic planning.

Senator AKAKA. Yes, well, my time is up, Mr. Chairman, but let me ask one question of the rest of you, and you can give me a one-word answer. Will you commit to keep the Subcommittee updated on the status of the plan?

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[1] The "FY 2003 Urban Area Homeland Security Strategy, National Capital Region," October 22, 2003 appears in the Appendix on page 80.

Mr. REISKIN. Yes.
Mr. CROUCH. Absolutely.
Mr. SCHRADER. Yes.
Senator AKAKA. Thank you. Thank you, Mr. Chairman.
Senator VOINOVICH. I would like to have you submit for the record how you are going about keeping the Subcommittee up-to-date on the plans so we have something in writing.

I am very happy to have Senator Warner here. Senator Warner is the senior Senator from Virginia. This NCR plan has enormous impact on your constituents. Senator Warner, do you have a statement?

OPENING STATEMENT OF SENATOR WARNER

Senator WARNER. Thank you, Mr. Chairman. I will ask unanimous consent to put my prepared statement in the record.
Senator VOINOVICH. Without objection.
[The prepared statement of Senator Warner follows:]

PREPARED STATEMENT OF SENATOR WARNER

Mr. Chairman, thank you for calling this hearing today to look at the preparedness of the Nation's Capital. I, unfortunately, was not able to attend your first hearing on this topic last summer and very much appreciate your continued efforts in this arena as it is of the highest importance.

After the September 11 attacks, the National Capital region's congressional delegation worked together to create the Office of National Capital Region Coordination (ONCRC). In the legislation creating the Department of Homeland Security we inserted a provision that created the office we have represented today. The ONCRC has the mission to "oversee and coordinate Federal programs for, and relationships with Federal, State, local, and regional authorities in the NCR." While that doesn't sound terribly clear, the intent of the Members of Congress who created this office is unified—we expect this office to help the region identify, plan, and prepare for, and respond to potential homeland security incidents and to provide a coordinating entity within DHS for that effort. To date much has been done but there is still much more to do.

The NCR Office was intended to be a model of regional cooperation and I believe that the Senior Policy Group (SPG) has fostered a strong relationship among the local and state governments. However, the lack of a strategic plan guiding the day-to-day efforts and long-term planning of the ONCRC is a glaring shortcoming. As I have told the Office since 2003, the first step is for you to "define where you are going so you know what the next step will be."

I feel the lack of a plan and inadequate funding from the Department and the Congress have left the Office with inadequate staffing levels or authority within the Department. Each year I work to increase the staffing of the Office but we have not been successful. Fortunately this year the President's budget request includes funds to hire one additional person and I hope this can be a sign of things to come. We, in the Congress, have to help the ONCRC gain the resources necessary to get the job done and I pledge to you to continue in that effort.

It is imperative not only for this region's security but also as a model to the rest of the Nation. The NCR has been pointed to by the Department as the type of entity that should be mirrored in administering the Urban Area Security Initiative (UASI) grants in 2006. Essentially, we are the only UASI area that has followed the regional model in the past and others must now learn from our experience.

I look forward to hearing from our witnesses about the progress of the Office and also to working with the Members of this Committee to continue to improve the region's and the nation's homeland security.

Senator WARNER. Mr. Chairman, I had a chance when the DHS bill was on the floor to put in the provisions establishing the Office of the National Capital Region, and I would like to first inquire of Mr. Lockwood. I see there is a $1 million increase for the staff. That is on top of what is the base sum today in last year's budget.

Mr. LOCKWOOD. The current budget calls for five people in the office, and the total budget to pay for staff is $892,000.

Senator WARNER. So the million then is practically a doubling? You got another million? Is that it?

Mr. LOCKWOOD. That would be correct, sir.

Senator WARNER. That is pretty good. Now, how did you lobby that through? [Laughter.]

Mr. LOCKWOOD. By working a strategic planning process that showed the value.

Senator WARNER. Well, then, I am not trying to be critical. I am very pleased, because having had a hand in establishing this office, I just want each of the witnesses to describe how effective it is going and whether or not we here in Congress could give you assistance. The budget is getting more satisfactory. How many people do you have working now on the current budget you have?

Mr. LOCKWOOD. Currently, we have three onboard. We have a few detailees, and with the half-year funding, we will be hiring two more.

Senator WARNER. I see. Well, that is very helpful.

Then I would ask Mr. Crouch, from the Commonwealth of Virginia, how effective do you feel this arrangement has been thus far? And does it need any improvements, statutorily or otherwise?

Mr. CROUCH. Your last question first, Senator Warner, I am not aware of any statutory change that is needed at the present time. My impression, as you are aware, Senator, I joined Governor Kaine's administration in this capacity following George Foresman.

Senator WARNER. George Foresman served with great distinction, and we know that, all of us.

Mr. CROUCH. Yes, sir. My view from my observations over the past 2½ months in this regard is that it is working very effectively. There is a great deal of communication between the two States and the District, with Mr. Lockwood's office. Mr. Lockwood's office has been extremely responsive to—speaking for Virginia. I cannot speak for Maryland or the District, but to a variety of activities and events that we have been participating in regarding preparedness and, again, in the all-hazards approach, and I would say in that regard that the office has not limited its focus on the National Capital Region alone, but also viewed the rest of Virginia as an extension of that, participating in our recent pandemic summit in Richmond as well as working with us as we continue to develop our Intelligence Fusion Center at Virginia State Police Headquarters in Richmond. So I am looking forward to our continued relationship and believe that the concept is a sound one.

As we discussed earlier in testimony, the National Capital Region presents challenges that may well be unique in the Nation in terms of, one, we are the seat of the Nation's Government, but also we have two State jurisdictions as well as the District of Columbia, multiple local jurisdictions in Northern Virginia and in the Maryland suburbs. And if we can get it right here—and we have a duty and obligation to get it right here—then certainly folks elsewhere in the Nation can get it right as well.

Senator WARNER. Well, it is imperative. This is the Nation's capital. Putting aside all politics and everything else, our three constituencies—Virginia, Maryland, and the District of Columbia—

have to frequently act as a greater metropolitan area serving the Nation's capital. So this is why we put this together, and I judge your report to be satisfactory.

I would like to have the Maryland perspective, Mr. Schrader.

Mr. SCHRADER. Yes, Senator. We are very pleased with the working relationship. I know Tom very well. He was actually on Governor Ehrlich's staff when he was still in the Congress, and I had the privilege of Tom being my deputy in Governor Ehrlich's office before he came to the National Capital Region. So he is very well aware of the imperatives at the State level. His leadership on driving the development of the strategy was very important. He basically decided well over a year and a half ago that we were going to get this done, and it was his dogged determinedness that we were going to get it done. And we are continuing to work in a collaborative manner with him.

Clearly, the States and the District of Columbia have a responsibility with driving the preparedness efforts within our jurisdictions in collaboration with the NCR, and so we have a major responsibility for facilitating and making sure that effort is successful. And Tom, with very limited staff, we believe has—or I believe has done an excellent job of facilitation.

Senator WARNER. He has achieved something that many would be envious of, doubling his budget. [Laughter.]

However, we are aware that there is still work on that front to sustain it.

Mr. SCHRADER. Yes, sir.

Senator WARNER. Mr. Reiskin.

Mr. REISKIN. Thank you, Senator Warner. I would echo the sentiments of my colleagues. I would add also that here in the District in particular, but in the region, because of the significant Federal presence, what's the most challenging thing for us to deal with is coordination with the Federal Government. It is not coordination across State lines. It is coordination with the various Federal agencies.

What we look to from Mr. Lockwood's office is coordination across the Department of Homeland Security, across the Executive Branch, and then across the entire Federal Government. And that is something that is a pretty awesome task for five people to do. So I think that increased staffing is probably well warranted. The examples that the Chairman and the Ranking Member gave in their opening statements about the airspace incursion and other coordination issues, the airspace incursion was the FAA, it was the Department of Defense, it was the U.S. Capitol Police. So this is spanning many agencies and two branches of government, and it is very difficult for us at the State and local level to coordinate independently with all those different entities, and that is great value that the Office of National Capital Region Coordination has brought to us here in the District and the region.

Senator WARNER. With the Chairman's indulgence, I would like to have one more question.

Senator VOINOVICH. Certainly.

Senator WARNER. All of us remember where we were on September 11, and I was here with my colleagues in the Senate, and later that afternoon I decided that I would go over to the Depart-

ment of Defense, where I spent 5 years of my life working there—I will never forget it—and joined the Secretary of Defense and others, went out to the crash site on that facade of the building that was struck, and witnessed just the magnificent performance of all levels of fire, police, security, Red Cross, just coming together to work. And being an old communicator in the military, I have always been interested in communications, and I would like to know—and I have followed this through these ensuing years. Do we now have a network of communication between our fire and our police and other rescue workers in this National Capital Region that meets the criteria that you presumably have settled among yourselves? And are the recipients of the funds, individual police and fire and rescue services, satisfied and join you in your opinion as to what the situation is?

Now, who would like to lead off? Why don't you talk, Mr. Lockwood, and then I will get to the other three quickly.

Mr. LOCKWOOD. Sure. Just to create the framework for coordination between the multiple jurisdictions within the NCR, the multiple jurisdictions, we were able to bring a number of the CIOs together to look at how they are investing within their State enterprise or local enterprises and start integrating. We used some seed money from DHS, some monies or resources that were available through the local tax base, to start coordinating the actual networks themselves, then to integrate in the operation, the operators, the migration of databases, the maturation——

Senator WARNER. My time is going to run out. I just simply want to know: Do they have in their hands the equipment today in the fire and rescue and police and other services to handle a catastrophe if it hit this afternoon?

Mr. LOCKWOOD. They are better today than they were on September 11. We still have a long way to go.

Senator WARNER. That is not too good after all these years, I have to tell you, gents.

Mr. Reiskin.

Mr. REISKIN. I would say in terms of voice interoperability, we are fairly interoperable between police, fire, emergency medical, and between the different jurisdictions. We are better than we were in 2001. We have, additionally, purchased and deployed at the suggestion of the responders a regional radio cache that we have put into use and will put into use during disasters that adds an additional 1,250 radios that are fully interoperable across all levels.

Senator WARNER. Wait a minute. Where are we? What is existing today? If it happened this afternoon, what have you got in hand today?

Mr. REISKIN. Well, all of the responders have radios that are largely interoperable with each other. We also have these caches that exist today that we would deploy. We have a protocol for deployment. We have a protocol for implementation. We would kick in that protocol and get those additional 1,250 radios out to folks so that we could communicate across the entire region.

Senator WARNER. I am having a tough time digging through this testimony to figure out where we are. Give it a shot, Mr. Crouch.

Mr. CROUCH. Yes, sir, Senator. I think what Mr. Reiskin is trying to say is that we have made great progress, that by and large our

local fire/emergency responders throughout the region do have communications interoperability capability today that they did not——

Senator WARNER. It is the "by and large" that worries me. I tell you what. I will let you gentlemen put this in for the record. But anything, Mr. Schrader, you want to add to this?

Mr. SCHRADER. Nothing additional, sir.

Senator WARNER. Just tell me what is in place today, and if it does not meet your objectives, what is the timeline which you need to get the objectives? And do you need further funding specifically directed by the Congress or Homeland Security or wherever the deep pockets are to bring you up to speed? Because, gentlemen, if another crisis hits in this community and we are all running around like we were on the afternoon of September 11, the people of this community should chuck us all out.

Senator VOINOVICH. Thank you, Senator. The question you asked was going to be the first question I asked, and while you are here, I think it is real important that I have tried this last time around to get more money for the EMPG grants, and I would like you to let Senator Warner know how important that is, because my colleagues do not seem to understand that if you do not have the resources at the State level to have the people that can get the job done, you cannot get it done.

Would somebody comment before we go to vote?

Mr. SCHRADER. Senator, it is vital for the local jurisdictions live and die on EMPG grants. Without that money, we cannot keep these programs going, and a lot of the local——

Senator VOINOVICH. What are EMPG grants?

Mr. SCHRADER. The Emergency Management Program Grant funds. They are absolutely essential, and they are matching grants, and our local jurisdictions, which is where our programs live and die, need those dollars. There is no question. We could not operate without them, and it is a very difficult process.

Senator VOINOVICH. The budget right now is absolutely inadequate to get the job done?

Mr. SCHRADER. Right.

Senator WARNER. Then we need a line item to change it.

Senator VOINOVICH. Well, why don't the two of us work on it and put it in the budget.

Senator WARNER. It is not that I am trying to get added protection for Members of Congress. But we do have the responsibility here in the Nation's capital of literally millions of tourists at any time of day or week. We do have the three branches of the government collocated here, with the heads of the respective branches collocated here, and the functioning of our government is highly dependent on the interoperability of the three branches of government in a time of crisis. That in turn is dependent on the infrastructure that can react to a crisis and give us the means by which to continue to function as a government.

I guess we do not have it in place this day. Is that about right? Maybe a little voice communication?

Mr. CROUCH. I think we have extensive voice interoperability.

Senator WARNER. You do? Then I do not want to underestimate it.

Mr. CROUCH. We will get documentation of that for you.

Senator WARNER. Well, what I would like to do is have a document signed by all of you saying this is our consensus of where we are today, where we need to go, and what are the mechanics, money or otherwise, to get there.

Mr. CROUCH. Yes, sir.

Senator VOINOVICH. Senator, I am also going to ask Mr. Jenkins what—you can answer. He is from the GAO. He is looking at this. What is your answer to this question, Mr. Jenkins?

Mr. JENKINS. You mean the interoperability?

Senator VOINOVICH. Yes, sir.

Senator WARNER. Today.

Mr. JENKINS. I would agree with what they said; that is, there is partial interoperability but not complete, and they have asked for money in their grant to buy radios for Prince George's County, for example, who is not totally compatible with everybody around here. So if they had to bring in Prince George's County, you probably would have some communication problems.

Mr. CROUCH. If I may, Mr. Chairman, respond also to your question regarding the Emergency Management Preparedness Grants, I think it is significant that in fiscal year 2006 there was $183 million appropriated for that. The National Emergency Management Association has asked for $270 million, and the President's budget currently has $170 million in there. So we certainly appreciate the Chairman's support.

Senator VOINOVICH. We were able to get $10 million last year, but maybe with Senator Warner's help and a few others, we can get additional funds to take care of your situation.

Mr. CROUCH. Yes, sir.

Senator WARNER. You know, it is amazing, Mr. Chairman. The budget which I have under my jurisdiction, as Chairman of the Armed Services Committee. The Department of Defense's budget is nearly half a trillion dollars. And the Pentagon is part of the network and could again be the target. We just simply—we will get to the bottom of it. Thank you very much. But give us that analysis as quickly as you can.

Senator VOINOVICH. My problem around this place is that we have silos all over, this appropriation, that appropriation. As a former mayor and governor, it bothers me to sit back and see that the big picture is not being considered. We should consider the type of relationships that the DOD and the NCR have, and whose programs we fund. We could respond to it in a very constructive fashion.

Let me get back to the interoperability. When I was governor, I got chewed out by a lot of people because we appropriated $270 million to go to 800 megahertz radio system. I would really like you today to tell the Subcommittee where you are with the voice and where you are with data communication? How much have you spent on it so far in terms of additional dollars? How much money do you need in terms of the dollars that are being allocated to the region and then to your respective States? Which portion of those dollars have you allocated to support this communications set-up?

Mr. Lockwood, as I mentioned in my opening statement, Hurricane Katrina taught us the importance of a clear chain of command, and in the event of a natural catastrophe or major terrorist

attack in the District or other regions in the NCR, is there any single official in charge who would have command authority over all of the resources in the region at the Federal, State, and local level? And if not, should there be?

Mr. LOCKWOOD. If there is an event, whether it is in the National Capital Region or any other region of the United States, the National Response Plan and the National Incident Management System will be utilized. If it takes place in the District, the District is going to be accountable. Our region will be supporting the D.C. Government. If national resources are required, they will be provided through an emergency management structure that will support our local governments.

The coordination we are trying to do on a daily basis with the Federal family in the NCR is where those activities occur in the first few hours so that we do not, through protective measures and through protocols, mis-position ourselves. That is an ongoing challenge we work with.

Senator VOINOVICH. I am going to recess the hearing to go vote. I would ask Senator Akaka when he comes back to take over and continue with his questions.

[Recess.]

Senator AKAKA [presiding]. The hearing will be in order. I want to thank you again for your testimony. This question is for any member of the NCR. Your joint testimony stated that the NCR web portal allows you to share regionally relevant data. Can you tell me what "regionally relevant" means? Specifically, does it include information on how each individual jurisdiction spends its own local and homeland security funds? Mr. Reiskin.

Mr. REISKIN. I can try to respond. First, this portal was established as a workspace to give all the stakeholders or the relevant stakeholders in a region visibility into various programs, not just spending, but other aspects as well. With regard to spending, the data that is there now is the regional homeland security dollars, the UASI grants from all grant years. It also has some of the State homeland security fund data. It does not have local fund data from any of the government sources.

As Mr. Schrader pointed out, the people who are responsible for the State and local homeland security spending in the respective jurisdictions are the same people, the people here, and the local level folks that we work with, the chief administrative officers. They are the same people who are doing the regional planning. So whereas, we don't have a single place where we could go where you could see how much my police department is spending out of local funds towards preparedness—it is a significant amount—I am at the table and making the State decisions and making the regional decisions, and we are coordinating and leveraging.

As an example, as we have developed the radio network that we were just talking about, and built up the radio interoperability, we have invested at different levels in different jurisdictions based on where they were, what investments had already been made. Many local jurisdictions had gotten themselves the 800 megahertz. In some circumstances we used regional funds to fill gaps in order to get everybody up to the same level.

So we do make all decisions very much mindful of where the regional, State, and local spending investments have been made and will be made.

Senator AKAKA. I look upon what you said as representing the group of you here.

Mr. Jenkins, would you care to comment on this issue? Do you agree with that definition of regionally relevant information?

Mr. JENKINS. I think our perspective on this is—I know that the last time we had a hearing, our position was described as a bookkeeping exercise, and I certainly do not agree with that. The basic issue here is that UASI is a regional source of money, and to be used effectively it has to leverage the money that is being spent elsewhere. So that it is an enhancement to money that is being spent elsewhere. It is not duplicative and it is not supplanting that money, it's not being used to displace local funds, and therefore, you do at the very least need to know what the money is being spent on, for what purpose. I think it is better to know where the dollars are coming from and how much you can leverage, but at the very least you need to know what the money is being spent on, for what purpose, and in what way that UASI can be leveraged? It is supposed to complement and leverage these other monies.

Senator AKAKA. To any member of the NCR, in 2005 DHS conducted an exercise in New Orleans called Hurricane Pam to test Federal, State, and local emergency response capabilities at that time. How many similar exercises has the NCR conducted?

Mr. LOCKWOOD. In the NCR, we do a number of events, including State funerals and special events. We look at every event in the National Capital Region. As an event, we look at the hot washes of the event to see what we did well and what we would like to do better. This is in addition to the major exercises that are played in the National Capital Region.

One of the challenges that we have had with the different Federal activities and State or local activities, is how do we start integrating the lessons learned from the exercises to the resource spending or into operations themselves? That has been a challenge, and that is part of the focus in the partnership with the Military District of Washington, where we are trying to coordinate those Federal exercises and activities so we don't have multiple exercises overlapping on similar objectives. That is a challenge.

Senator AKAKA. Mr. Reiskin, at the July hearing, you testified that DHS and the District were working on an improved communication protocols for major security incidents in the District. Can you please tell us if those protocols have been implemented, and if communication between the District and DHS has improved? Specifically, can you provide us with an example of incident that occurred in the District since last July and describe the coordination?

Mr. REISKIN. We did develop protocols. We developed generic protocols, although it did stem from that airspace incursion incident, and I can tell you that we have had a number of airspace incursions since then, and the protocols have worked as drafted. We get notification now through multiple paths, including through the Department of Homeland Security, but also directly from the FAA. So I believe that issue, which was certainly a problem for us, that particular one, has been addressed.

There are other areas of notification that we are still working on, frankly, and as I mentioned previously, the challenge of Mr. Lockwood's office, I believe, is not just to coordinate with the Department of Homeland Security—and our coordination with them, I would say, is excellent—but across the rest of the Federal Government, including the Legislative Branch.

Mr. Lockwood's office is currently convening a multi-agency group including Defense, Health and Human Services, Justice, and State and locals in this area to deal with bio-events. We solved the airspace incursion and similar events to that. We are now moving to bio-events, such as some of the false readings of anthrax that we have had at the Pentagon in the last years or so.

So we have made very good progress in terms of airspace and some other incidents. In other areas, it is still a work in progress.

Senator AKAKA. Mr. Reiskin, September 11 demonstrated the challenges of evacuating the District. The Metro stopped running. The main bridges and roads through Maryland and Virginia were gridlocked, and emergency response personnel trying to cross the city just made traffic worse at that time. What has the District done to improve evacuation capability since September 11?

Mr. REISKIN. After September 11, we developed an evacuation plan and communicated that plan. We did a mailing to households in the District. We did that, I think, a couple of times. We developed signal timing capacity so that we could essentially flip a switch and time all of our outgoing signals to stream the traffic outbound on evacuation routes that we labeled. We established an intersection control program where we deployed people to make sure that the traffic is moving in the downtown area to clear people out. We deployed closed circuit television cameras all around the District, so that within the Transportation Management Center, which we stood up after September 11, we can monitor in real time what is happening on the streets, and then we can divert or send intersection control or other resources accordingly.

We also—I think we discussed at this hearing last year—have exercised our plan. We exercised on July 4. It was an actual quasi-real exercise where we put the plan into place, and although it wasn't during an emergency situation, it did provide us some valuable information.

Last year with our homeland security funds, we funded the development of a regional walk-out plan so that we can plan for, as practically happened, such on September 11, the facilitation of people leaving the District on foot as well as and safely in coordination with the people leaving in cars. We have purchased emergency generators for our downtown intersection signals, so that if we lose power, we don't lose the traffic signals. We are also investing in some scenario planning that we will exercise to see how different kinds of events would impact our evacuation flow. And we brought home the message of shelter in place, versus evacuation, tried to do that strongly through our educational awareness campaign.

We have, since Hurricanes Katrina and Rita hit, been reevaluating our plan. We're currently in the process of updating our evacuation plan. We are looking specifically at the issues surrounding people with special needs and people without their own vehicles. Our plan did contemplate having buses available to move people

who don't have the ability to move themselves. But what we are doing now, is we are doing a little bit finer-grain analysis, looking at census data, looking at DMV data, to make sure and update where folks are that don't have cars so that we can deploy our buses in the right places, and make sure that people in those neighborhoods are aware of where they need to go should they be required to evacuate.

We are also looking at expanded rail and water-based modes of transportation to enhance. So we have done, I think, a significant amount, and we feel fairly confident that we could move a significant amount of people out of downtown in a relatively short period of time, notwithstanding what you see on a normal rush hour when that is not our goal to just get people out.

But I do want to add that we see a scenario whereby we would have to evacuate the entire downtown or a large part of the District as being a very unlikely scenario, and we continue to push the message that in most cases and in most types of events, the best course of action, the safest course of action, will be to stay where you are.

Senator AKAKA. Mr. Chairman, let me finish by asking Mr. Schrader and Mr. Crouch, has Maryland and Virginia been involved in evacuation planning?

Mr. SCHRADER. Absolutely. Since Katrina, we have actually gone back as part of the National Plan Review, and pulled all of our States and 26 jurisdictions, together, and are developing a detailed evacuation plan for Maryland, which will then be coordinated back with the National Capital Region. Of course, Montgomery County and Prince George's County are in the National Capital Region.

Our policy is to have—our programs are statewide programs, and then we coordinate them with the NCR.

Senator AKAKA. Thank you.

Mr. CROUCH. Yes, Senator. Virginia's efforts are very similar to Maryland's in that regard, and they have included discussion among all of our jurisdictions. Most recently in the National Capital Region there was also a meeting of the chief administrative officers of all the counties and cities of the Virginia jurisdictions in the National Capital Region with their counterparts in outlying counties and cities, to discuss the capacity of the outlying counties to anticipate and care for a surge of evacuees from the National Capital Region.

So these efforts are ongoing, and to some extent existed before Katrina and Rita, but certainly, have been reexamined and strengthened since that time.

Senator AKAKA. Thank you very much for your responses. Mr. Chairman.

Senator VOINOVICH [presiding]. Thank you, Senator Akaka.

Mr. Reiskin, sometime ago, we talked about the issue of law enforcement agencies, and their communications with each other and coordinating their resources in the event of a terrorist attack. Are you getting the kind of cooperation that you should? Is this part of your strategic plan?

Mr. REISKIN. Yes. There are actually 35 different law enforcement agencies that operate within the District of Columbia. So it is somewhat of a challenge, but the major agencies, such as the

Capitol Police, the Park Police, the Secret Service, we work every day with them at the Metropolitan Police Department. Just a couple of hours ago we had a suspicious package at 15th and E, right by the White House. That is something that is jointly managed between the Secret Service and the Metropolitan Police Department. We have actually deployed Metropolitan Police Department officers into the command centers of the Capitol Police and the Secret Service on a regular basis, and certainly any time we have an event, we have their folks in our command center as well.

For every major event, and for things as small as the National Marathon this past weekend, we jointly develop our plans with all of the law enforcement agencies in the District, and often in conjunction with those in the region. So I would say largely our coordination within the law enforcement community is very strong.

Last year, in addition, we invested some of our UASI funds toward the development of a law enforcement data sharing network, which was more on the prevention side, perhaps, than the response side. This will help significantly in terms of information sharing across the region between all of our law enforcement agencies.

Senator VOINOVICH. So you think that there has been a significant improvement from what it was?

Mr. REISKIN. Absolutely, on a daily basis, I can at least say for the major ones. There are some very small law enforcement agencies, but I don't think they're really a significant issue.

Senator VOINOVICH. It is my understanding that if something happened in Maryland or Virginia, or the District, Maryland would be in charge, or Virginia would be in charge, or the District would be in charge. Mr. Reiskin, if an event happened in the District you would have the job of accessing all the resources. You would be able to access Virginia or Maryland to help you to get the job done?

Mr. REISKIN. That is absolutely correct.

Senator VOINOVICH. Mr. Lockwood, where would you fit into the picture? Would you be sitting there next to them in the chair or would you be in communication with them because of your responsibilities?

Mr. LOCKWOOD. Yes, sir. Typically for most of the event planning, I coordinate across different operation centers. I coordinate physically with several of my partners. In the event of an emergency, I will go to the inter-agency group that is trying to coordinate the Federal Government to provide——

Senator VOINOVICH. Do you have a command center?

Mr. LOCKWOOD. Yes, sir. The Inter-Agency Working Group is at the Nebraska Avenue Complex under the Operations Division. During the event of an emergency, that group, whether the emergency is here in the National Capital Region or any other place in the United States, it will surge representatives of various Federal agencies, including the Legislative Branch, to integrate our response to the State and local governments.

Senator VOINOVICH. Good. I really want all of you to tell me what needs to be done to complete the strategic plan. What is the timeline and milestones? I would like it in writing, and sent to Senator Akaka, as well. I want our staff to be able to monitor your progress. I would also like a full picture on where you are in terms of communication. How much money have you put in, how much

additional money would you need to take it to where it should be. In my State, I put 250 million into it, the next governors put additional money into it. We are in pretty good shape relative to the rest of the country.

I would also like to know your EMPG needs. I would like to share that with Senator Warner and my other colleagues. Maryland and Virginia should make sure your two Senators understand how important EMPG is. I am going to try and get additional EMPG funds because I know how important it is to you.

Mr. Jenkins, you have had a chance to listen to this testimony here today. Are there any thoughts that you have, comments about some of the answers of some of the witnesses, and wrap it up from your point of view at GAO?

Mr. JENKINS. I would say it is certainly our view that this group sitting at this table and the region as a whole has definitely established a cooperative working relationship that is very important for being able to accomplish what they need to accomplish.

I think our concern still remains—and this is the thought I would like to leave—is that the documents that we saw are task and project oriented, and what we were having trouble looking at them and understanding is task and project oriented to what end? What is it that you want to accomplish? And it comes back, as I said, from my perspective, to the risk and capabilities, what do you want to get?

When you look at the things, for example, it says "immediate" as the sort of measure, and immediate has to have an operational measure. In other words, what do you mean by "immediate" in terms of being able to evacuate people? So it really needs, from our perspective, to have—it should be a road map, and that road map should say when I get there, what is it that I want to be able to accomplish, and what is it that I want to be able to do, and how can I best do that with the resources I have? Because you will never have all the resources that you need, so you inevitably are going to have to make tradeoffs, and then on what basis are you making those tradeoffs?

And we would like to see that in the plan because that is how you can then understand where you are trying to go and how you are going to get there. Right now these documents have a lot of very useful information in them, but it does not really tell you very much about the destination.

Senator VOINOVICH. Senator Akaka.

Senator AKAKA. Thank you, Mr. Chairman.

Mr. Reiskin, I know that the District uses text messages and e-mails to alert residents to emergency conditions in the District. How many of the one million people who live and work in the District can be contacted through the current emergency alert system?

Mr. REISKIN. I can't tell you how many can be. Right now of the roughly 580,000 residents in the District, we have about, I believe, 18,000 who have registered for the text alert system, and that really is one of four means that we have to reach people during an emergency, but it is a significant one. One of the goals that I have tasked our emergency manager with is a significant increase in that number, getting up towards over 100,000 people, working also with some local private sector folks to help us on the outreach ef-

forts towards that goal, because the real-time awareness of an emergent issue is something that we believe is very critical, and we think that we need to take it to a much higher level.

We have, in the region, invested in this text alerting capability across the entire National Capital Region, and I don't have the numbers, but we can certainly get you the numbers for across the whole region how many people we have signed up to date, and both in the District and the National Capital Region we're working to get those numbers up.

Senator AKAKA. Besides the text messages and e-mails to alert the people, do you believe that the District needs a siren system, and if so, are there plans to do that?

Mr. REISKIN. We are currently piloting—again, this is a regional project—we're piloting a siren project that the District, frankly, has gone back and forth quite a bit on the siren issue. I think that general consensus has been that sirens are not very helpful in an urban environment.

Our primary means of communication during an emergency, we have the text alert system, we have the emergency alert system, which is akin to the old emergency broadcast system, where we can take over the airwaves, radio and TV, to get messages out. We have, of course, our emergency portal on our website, and we have a reverse 911 telephone system, where we can call out to the entire District or certain neighborhoods. We think that those four components give us pretty good reach in terms of getting messages to people on an urgent basis.

We are, however, as part of the region, taking part in the pilot of the siren system. We are also looking—I mentioned that we are putting emergency generators in place, or will have the ability to do so at our downtown intersections. The electronics that are associated with a modern traffic signal system actually would give us the capability to send messages out in a very localized way, not just sirens, but actual voice messages. So we're also looking at that system as a way to deal with the outdoor warning system.

Senator AKAKA. Mr. Chairman, let me ask Mr. Lockwood.

There are more than 150,000 Federal employees who work in the District, a portion of which are critical personnel, who support Federal Continuity of Operations, and Continuity of Government Response Plans that are activated during an incident in the NCR. In the event of a major disaster within the NCR, there is no doubt that considerable confusion will exist, including traffic jams, power outages, and major disruptions of public transportation.

I am concerned that Federal employees with COOP and COG responsibilities will be immobilized in this confusion and unable to execute COOP and COG plans in a timely fashion. My question to you is, what has been done to coordinate Federal COOP and COG plans with the District emergency evacuation plans?

Mr. LOCKWOOD. In our region, we have over 300,000 Federal employees. A significant number of employees are not COOP/COG, but we have critical personnel that need to get to where they need to go to support continuity of government and continuity of operations. For the coordination of this, one of the key efforts that we have been looking at is how do we credential people, pre-identify people so that we don't walk into where we were on September 11,

12, and 13, when people couldn't get to where they needed to be. This is the interoperable identity management piece that we have been looking at for leveraging the Federal framework of FIPS 201. This region is probably the first region in the Nation that is looking at how to coordinate first responders and critical support people to cross through lines.

Additionally, from the Federal side, we have programs under way to look at how we rally people and get them to where they need to be. They will be integrated into the testing scheduled that occurs every year. So those are actively engaged. But one of the key things that the Federal Government, State and locals, the identity management piece, where we are integrated is really a priority for the Federal Government to complete.

Senator AKAKA. Thank you. Mr. Reiskin.

Mr. REISKIN. If I could add one thing that Mr. Lockwood didn't mention, but that he's really been instrumental in doing, is integrating the NCR State and local governments into the Federal COOP/COG exercise process. So while we're fairly confident right now with our ability to move people out of the downtown in the event of an emergency, integrating us into their exercise process will give us some better visibility into what kind of impacts there are. As Mr. Lockwood said, it's not all 150,000 employees who need to get out, but we do need to make sure that the ones who do need to move, can move, and by integrating us into that exercise, I think that will give us the visibility to determine whether we are there yet or what we need to do to fix it if we're not.

Mr. LOCKWOOD. A key piece of this was in previous cycles, local governments, State governments, were not represented within these discussions. They were simulated. It think it's important, and I believe that the Secretary thinks it's vitally important, that we include our State and local partners in this discussion. Furthermore, as we look at these exercises and events, if there is something that's going to force a COOP action with the National Capital Region, there also needs to be a way to have an integrated Federal response. That integrated Federal response does require joint operations space, and we are actively looking at that with regard to our exercise strategies as well. For each exercise we want to make sure that the mix of Federal, State, and locals have an understanding of where they need to go in the event of an emergency, to integrate the response to support local government.

Senator AKAKA. Thank you for your responses. As you can tell, the Chairman and I are vitally interested in knowing what you've done thus far, and look forward to those kinds of documents.

I would like, Mr. Chairman, to close by associating myself with the comments you made about the EMPG grant funding while I was gone. I understand you spoke about that for about 5 minutes. Rest assured, we are committed to increasing EMPG funds.

Thank you very much, Mr. Chairman.

Senator VOINOVICH. Thank you, Senator Akaka.

Again, for the record, I would like to have the written plan, and, Mr. Jenkins, I am going to ask you to look at it. Mr. Lockwood, I expect that Senator Akaka, and I will spend some time with you as we have along with the plan.

Senator Akaka, I think it might be very worthwhile to schedule a hearing in September. If the plan is to be complete in August, you can come back in September, and brag about what you have done.

This is a technical question for Mr. Jenkins. Is it necessary to include the Katrina after action report, the enhancement plan, and EMAP into the strategic plan?

Mr. JENKINS. Well, I think certainly with regard to—the real issue out of Katrina is not a "normal major emergency, it's a catastrophe, a catastrophic event." That is defined by DHS as basically being a event that almost immediately overwhelms the capacity of State and local governments to respond. In other words, it turns the normal process in which State and local governments are the first responders and they ask for help further up the line, it turns that upside down essentially on its head, where the Federal Government then needs to be more proactive. And so I think that is clearly something that needs to be considered, is what happens to normal planning if there is a catastrophic event that really overwhelms State and local responders in the region? So I think it's important to incorporate that into it. I think that's very important.

Senator VOINOVICH. If something would happen in the region, it would be a way out of anything that you could——

Mr. JENKINS. Way out of anything, and it would affect—as it did in Katrina—affects communications, affects transportation, affects the ability of the first responders to get to where they need to go, or be able to do what they need to do because their equipment is incapacitated. And so Katrina really is more of an issue of a catastrophic event. As horrible as the events of September 11 were in both New York and here in Washington, they were essentially local, non-catastrophic events. That is, they were events that were largely managed by State and local first responders who had the equipment and the ability to respond. So they were very different from Katrina in that regard, both in terms of—Katrina was much larger in terms of geographic scope and the degree and scope of the destruction, that is, the variety of things that it destroyed and its ability, therefore, for State and locals to respond.

So I think that getting in and thinking about what would happen if there were a catastrophe—and that's where you need to think about the risk. The risk is not very high here for an earthquake, and so you need to think about what the risks are that you face. Think about the capacity that you need, and what would happen under different sets of assumptions, and what does that mean in terms of the capacity that I have and what I need and what people's roles and responsibilities are.

So it is important, I think, particularly for the Katrina reports, for people to look at what the lessons are learned from Katrina, and what they mean for emergency preparedness in this region, particularly a region as high a risk as this region is for something pretty horrible to happen.

So those are, I think, the most important things. And as I said, the other thing is really getting at the risk and therefore the capabilities that you need, whatever those risks are and then the capabilities that you need, and where are you with regard to those capabilities and where do you need to go in what priority order.

Senator VOINOVICH. Thank you.

Mr. Lockwood, who oversees the evacuation of Federal buildings? We have several evacuation plans for our offices. We have a lot of other Federal agencies around here. Who is responsible to ensure that Federal agencies are prepared to evacuate and ensure that everybody knows where they are supposed to go?

Mr. LOCKWOOD. Through the Joint Federal Committee, we try to make sure people are aware of some of the planning activities. One of the key planning activities has been protective measures. In the event of an emergency, a fire, in adjacent buildings, even if they are different branches of government within the Executive Branch, we have to sort out the planning, the immediate planning around those buildings. Each building has an occupancy plan. What we are doing now is looking at the clusters of Federal buildings within the National Capital Region. Essentially, there are 13 major clusters. We are looking in detail at one cluster right now to say, when was the last time the occupancy plans were updated? Have they been coordinated with their neighbors? Have they sorted through, if it's inclement weather or the different threat types that you might be working.

We're doing a detailed piece on one of the clusters right now, and as we understand the conflicts and the deconflicts that we need to do, we're going to then walk through the other clusters.

Senator VOINOVICH. You are in charge of it? Is there someone in the Administration that says to Mike Leavitt or to some of the other secretaries of agencies, "Have you guys recently checked to see whether or not your folks know what they're supposed to do and where they're supposed to go?"

Mr. LOCKWOOD. The guidance originally is through OPM and GSA, and that would be the driving guidance right now. The executing arm of this is the Federal Protective Service across the Executive Branch. One of the pieces of this office, is the coordination across the groups. Again, it's coordination. I do not have authority over Secretary Leavitt or the other——

Senator VOINOVICH. But the fact is, if I want to find out when was the last time that they did a drill of some sort, who would have that information?

Mr. LOCKWOOD. I would have to work with FPS to understand that, and I could get back to you.

Senator VOINOVICH. OK. I would just be interested in it. It is one of those things, how often is anybody thinking about it?

Mr. LOCKWOOD. Again, this goes back into the criteria of these occupancy plans and updating those plans.

Senator VOINOVICH. This has been a good hearing. I think you know how interested we are. Our goal is to have the plan by August.

We thank you very much. This meeting is adjourned.

[Whereupon, at 4:37 p.m., the Subcommittee was adjourned.]

APPENDIX

Statement by the Department of Homeland Security's Director for National Capital Region Coordination, Mr. Thomas Lockwood Before the Senate Subcommittee on Oversight of Government Management, the Federal Workforce and the District of Columbia

342 Dirksen Senate Office Building
Washington, DC
March 29, 2006
(Remarks as Prepared)

Intro

Thank you for the opportunity to update the Subcommittee on the progress the National Capital Region (NCR) has made in the area of strategic planning to enhance the safety and security of our region since our meeting last July. The NCR has made great strides over the past eight months towards producing the nation's first integrated and comprehensive regional homeland security strategic plan.

Background

During the period from January- November 2005; leveraging work already done in the Region, including the FY 2003 Strategy focused on the Urban Area Security Initiative (UASI) grant program as well as planning activities throughout the 2004 calendar year, the NCR homeland security partners[1] worked tirelessly to further develop a regional strategic plan that establishes preparedness priorities and objectives for the entire Region.

Also during January- November 2005 the Preparedness Directorate and the position of Under Secretary for Preparedness were created as part of Secretary Chertoff's Second Stage Review. The Office for National Capital Region Coordination (ONCRC) was integrated into the Preparedness Directorate. The efforts of the National Capital Region-Homeland Security (NCR-HLS) strategic

[1] The NCR homeland security partners is a group that the Federal Government neither created, nor sets the agenda. Rather, for purposes of the NCR homeland security partners, DHS is one of many homeland security partners at the table. Other "homeland security partners" refers to the region's local, state, regional, and other federal agencies, citizen community groups, private sector, non-profit organizations, and non-governmental organizations. The product of the NCR homeland security partners is not advice directed at DHS or the Federal government as a whole, and the group does not make recommendations that DHS or any other Federal agency fund certain types of grants.

planning group fell in line with the overall Preparedness goal to coordinate a full range of capabilities to prevent, protect against, and respond to terrorism and other catastrophic events. The Preparedness Directorate encourages HLS partners and the American pubic at large to view preparedness as a *culture* rather than isolated activities. This approach to preparedness is supported and reflected in the NCR-HLS strategic planning process.

The 9/11 terrorist attacks initiated an era of new threats to homeland security for the nation and for the National Capital Region. The need to meet such threats with integrated efforts across the Region poses a unique challenge involving 12 jurisdictions, a State, a Commonwealth, the District of Columbia, all three branches of the Federal Government, over 2,000 non-profit organizations, myriad private sector interests, and over four million Americans. *The 2005 National Capital Region Homeland Security Strategic Plan* addresses this challenge by:

- Defining priorities and objectives for the entire Region without regard to any specific funding mechanisms
- Providing strategic guidance to the application and allocation of all homeland security and preparedness grants throughout the Region
- Providing input to the future internal planning, programming, and budgeting processes of NCR jurisdictions

Foundation

The NCR homeland security partners understand that securing the homeland is a process that must be continually reevaluated and redirected to cope with unexpected events. With that in mind, we approached the process to develop the NCR-HLS Strategic Plan with a commitment to continue and build upon past accomplishments.

As a starting point, the NCR partners decided to leverage the solid work done within the Region post 9/11, as well as existing planning efforts. At the state and local level, multiple strategic plans existed to support the needs of the District of Columbia, the State of Maryland and Commonwealth of Virginia, and the local jurisdictions. These plans provided a jurisdictional perspective, but did not take into account overall regional needs.

Our goal in coordinating development of the NCR-HLS Strategic Plan was to integrate the state, local, and federal plans with the Region's mission, vision, goals and objectives. At the regional level, five distinct regional planning efforts served as a foundation for the NCR-HLS Strategic Plan goals and objectives:

- *Regional Emergency Coordination Plan (2002)* - an effort immediately after 9/11 to coordinate continuity of government plans across the NCR develop through the Metropolitan Washington Council of Governments (COG)
- *Eight Commitments to Action (2002)* - a joint statement developed in cooperation with the Advisor to the President for Homeland Security and the three regional government executives - the Governor of Maryland, the Governor of the Commonwealth of Virginia, and the Mayor of the District of Columbia - to improve coordination in preventing, preparing for, and responding to a terrorist incident.
- *UASI Strategy (2003)*
- *Chief Administrative Officers (CAO) - Senior Policy Group (SPG) Priorities (2004)*
- *Regional Emergency Support Functions (R-ESF) Plans (2005)*

Additionally, for the region to be integrated and coordinated with federal efforts, several federal planning documents also contributed content to developing the foundation for our strategic plan. These included:

- *2002 National Strategy for Homeland Security*
- Department of Homeland Security Strategic Plan
- *Homeland Security Presidential Directives (HSPDs) 5, 7, and 8*
- *National Incident Management System (NIMS)*
- *National Response Plan (NRP)*
- Guidance templates for the *National Preparedness Goals*
- *DHS State and Urban Area Grant Guidance*

Process

The process thus far for developing the 2005 NCR-HLS Strategic Plan has involved two general phases, one (*Consensus Building:* Aug '04 - Jun'05) leading up to agreement on the basic framework, and a second (*Initiative Development:* Jun '05 - Nov '05) designed to identify and develop specific initiatives to support the achievement of the overall goals and objectives.

***Consensus Building:* Aug '04 - Jun'05**

During the Consensus Building phase, the NCR leadership sought agreement on the mission, vision, guiding principles, and draft goals for the strategic plan. Using insight gained from the reference documents already mentioned and interviews with homeland security partners throughout the Region, the NCR leadership drafted a mission statement to: *Build and sustain an integrated effort to*

prepare for, prevent, protect against, respond to, and recover from "all-hazard"' threats or events.

After extensive discussion, the leadership agreed that although it was important to highlight the importance of terrorism, it was essential that the plan used an "all hazards" approach, to include preparedness for domestic terrorist attacks, major disasters, and other emergencies.

We recognized upfront that to gain synergy among the various stakeholders and jurisdictions involved in HLS planning, it was key to have agreed upon *Guiding Principles* to guide the overall framework. These principles include:

1. *Strengthen regional coordination among all partners to gain synergy without weakening jurisdictional autonomy.*
2. *Implement homeland security policies and programs without undermining our constitutionally-based society, particularly the civil rights and civil liberties of the NCR's diverse population, including persons with disabilities.*
3. *Prepare for all hazards, including man-made and naturally occurring disasters.*
4. *Advance the safety and security of the National Capital Region in ways that are enduring, relevant, and self-sustaining.*
5. *Foster a culture of collaboration, respect, innovation, and mutual aid among all homeland security partners across the National Capital Region.*
6. *Adopt best-practice, performance-based approaches to staffing, equipping, training, and exercising first responders and others engaged in homeland security.*
7. *Strive for an optimal balance of preparedness capabilities across the NCR that recognizes differing circumstances and leverages mutual aid agreements.*

These *Guiding Principles* helped shape the *Vision*, which is: *Working together . . . towards a safe and secure National Capital Region.* Using these principles to guide planning within the context of the overall agreed *Mission* and *Vision*, the NCR leadership was able to gain agreement on the high-level goals and objectives that would guide the detailed initiatives developed later in the process.

***Initiative Development:* Jun '05 - Nov '05**

Once the overall framework was established and agreed upon during an NCR-wide Strategic Planning Plenary in mid-June 2005 *(see Annex A)*, we were able to focus on developing initiatives to support our strategic goals. A series of four facilitated working groups (based on the four Goals) involving representatives of

key HLS stakeholders throughout the Region were held over the summer to finalize the goals and objectives, and to begin developing the detailed initiatives. The products of this effort were reviewed and discussed at a second NCR-wide Plenary in September 2005, during which time the NCR leadership agreed to finalize *the Mission, Vision, Guiding Principles, and Strategic Goals* for public release on the Metropolitan Washington COG website. *(see Annex B).*

During the September Plenary, the NCR leadership decided to continue the Goal Working Groups as a means to further the development of the initiatives, with a goal of presenting to the November Plenary a recommended prioritized listing of initiatives in sufficient detail to enable decisions regarding priorities. During the period Sept - Nov '05, the groups developed for each of the initiatives a description, identified the desired result/outcome, estimated the timeframe/cost/and status (if currently underway), identified key tasks and programs associated with the initiatives, and determined, where possible, performance measures that could be used to assess the overall effectiveness of the initiative.

In addition, in advance of the November Plenary, an integrated Review Group consisting of representatives of each of the groups met to review the full menu of initiatives; to determine how well the initiatives addressed regional weaknesses/gaps as well as how well they incorporated both the seven National Preparedness Goals and the 37 Target Capability Areas (TCAs); and to develop a prioritized list for consideration by the Plenary. The "priority"initiatives will be considered first-in-line for implementation and funding (whether from UASI or any other funding source). As funding streams become available that may exceed the near term needs of those designate "priority" - those in the remaining group will be brought forward for funding consideration.

As a result of the facilitated Goal Working Groups, during the November Plenary the NCR leadership reviewed a set of 45 proposed initiatives, agreeing that 16 warranted "priority" designation *(see Annex C).* This designation meant that these were going to be the priority initiatives for implementation as the jurisdictions approached the FY06 HLS Grants cycle and upcoming annual budget processes.

Conclusion and Next Steps

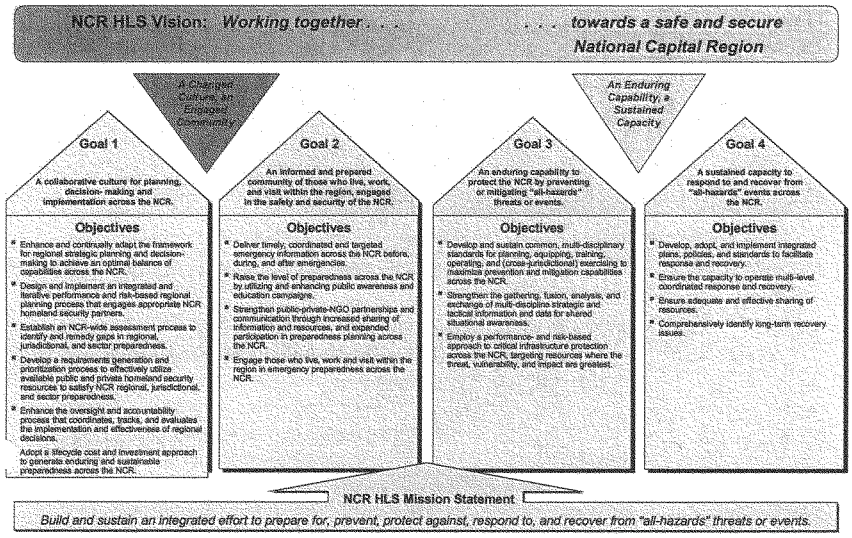
The *2005 Update to the NCR-HLS Strategic Plan* will contribute to the NCR's success by providing numerous important and related benefits, such as: (1) more efficient allocation of resources throughout the Region; (2) transparency in funding priorities; and (3) increased communication, interaction, and

coordination among stakeholders. With a single coordinated and integrated strategic plan, the NCR will be able to effectively and consistently direct the spending of emergency management resources throughout the Region and better assess their impact on regional preparedness.

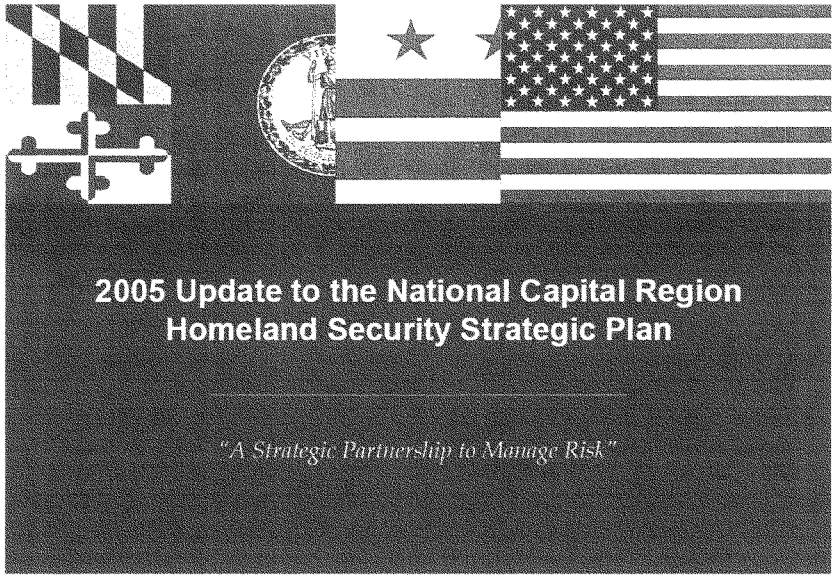
The NCR leadership and homeland security partners have made significant progress since last July. We have developed the framework of the *2005 Update to the NCR-HLS Strategic Plan*, which includes the *Mission, Vision, Guiding Principles, Strategic Goals, Objectives, and Initiatives*. By studying gap analyses and self-assessments, we have agreed to designate 16 of the 45 initiatives as "priority", granting them primary status as we have approached the 2006 HLS Grants cycle. In the coming months we plan to invest in maturing the 45 initiatives, focusing on the development of performance measures and timelines to ensure the effective implementation of these initiatives.

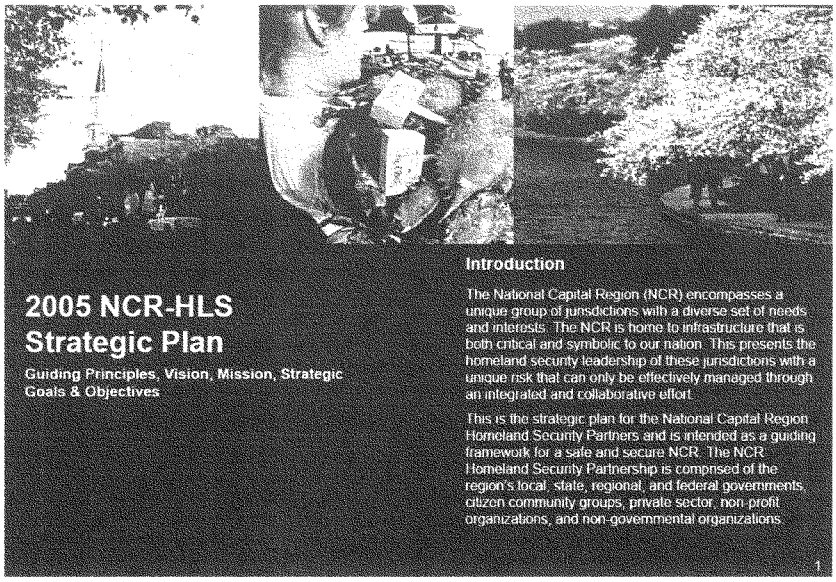
Throughout this rigorous strategic planning process, the NCR leadership and HLS partners are aware of the novelty of the project and welcome the responsibility that comes with designing, building, and now implementing the first regional strategic plan of its kind in the Nation. We are proud of the progress we have made thus far and are prepared to continue developing the initiative details, performance measures, and projected milestones that will make this strategic plan a truly guiding document for securing the National Capital Region.

Annex A: NCR-HLS Strategic Plan Framework

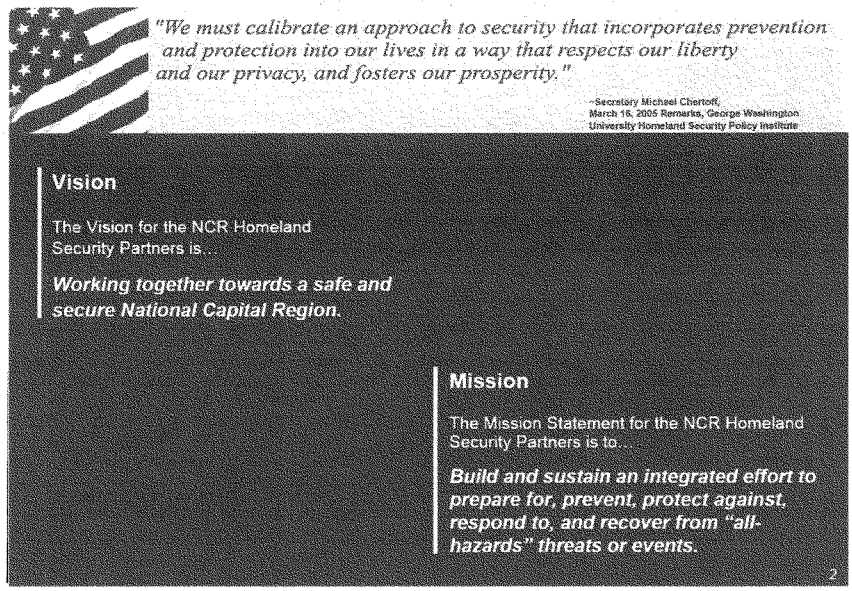


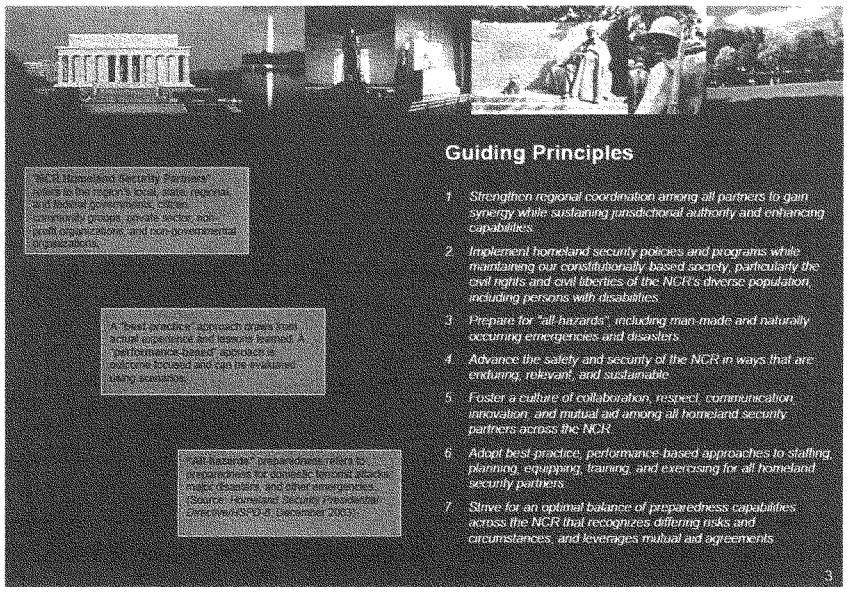
Annex B: ***2005 Update to the NCR-HLS Strategic Plan***



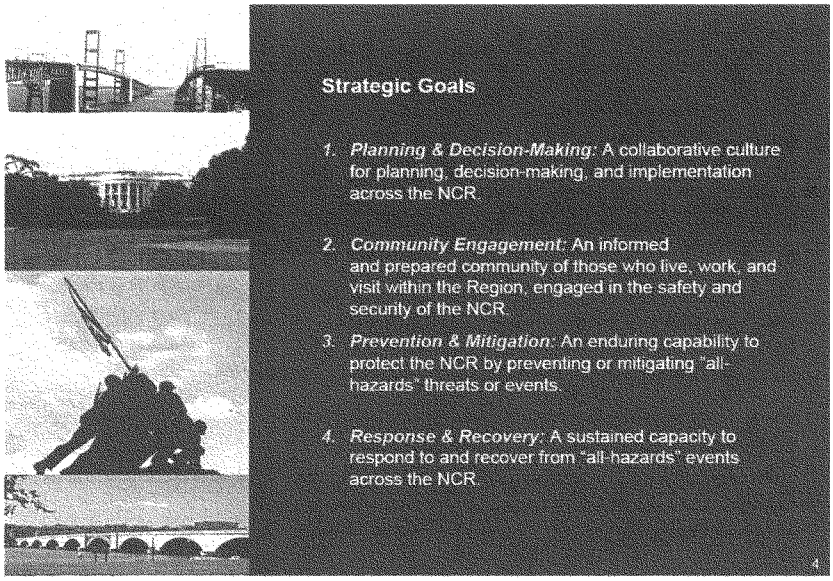


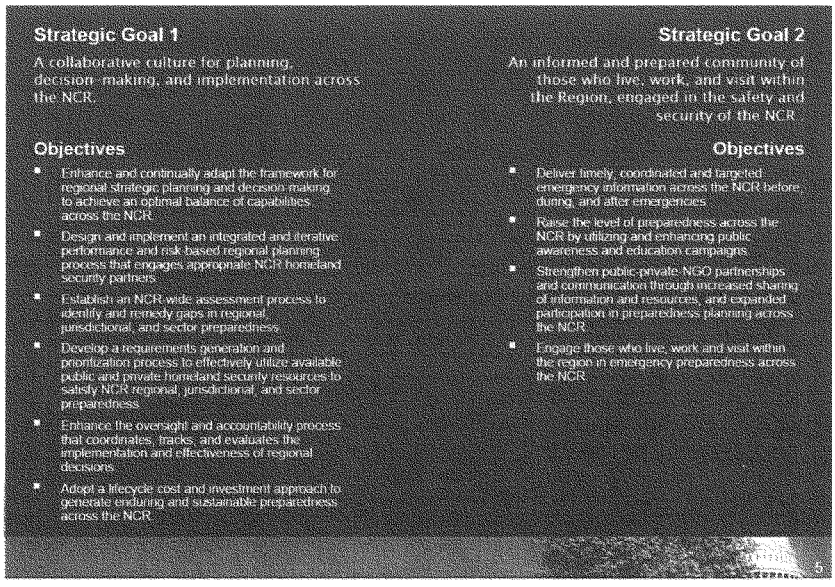
Annex B: *2005 Update to the NCR-HLS Strategic Plan*



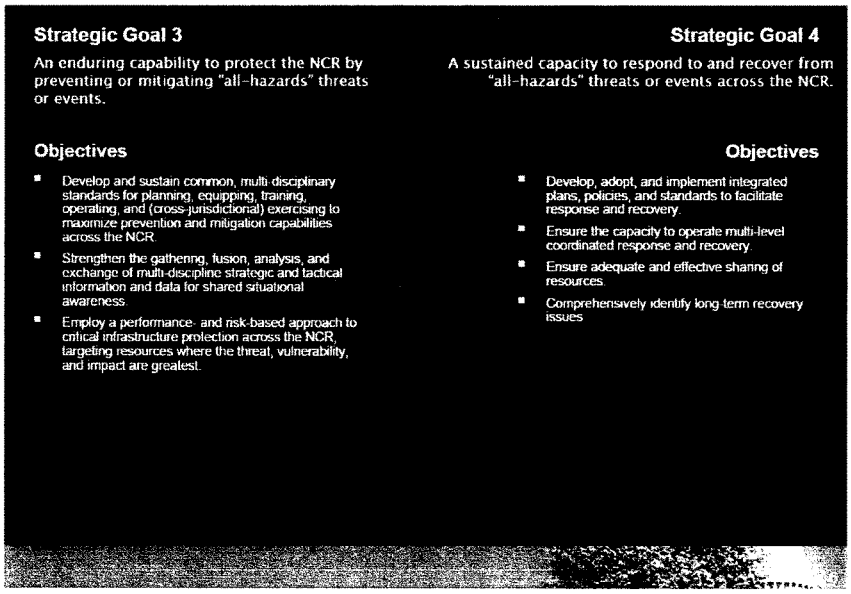


Annex B: *2005 Update to the NCR-HLS Strategic Plan*





Annex B: *2005 Update to the NCR-HLS Strategic Plan*



Strategic Goal 3

An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events.

Objectives

- Develop and sustain common, multi-disciplinary standards for planning, equipping, training, operating, and (cross-jurisdictional) exercising to maximize prevention and mitigation capabilities across the NCR.
- Strengthen the gathering, fusion, analysis, and exchange of multi-discipline strategic and tactical information and data for shared situational awareness.
- Employ a performance- and risk-based approach to critical infrastructure protection across the NCR, targeting resources where the threat, vulnerability, and impact are greatest.

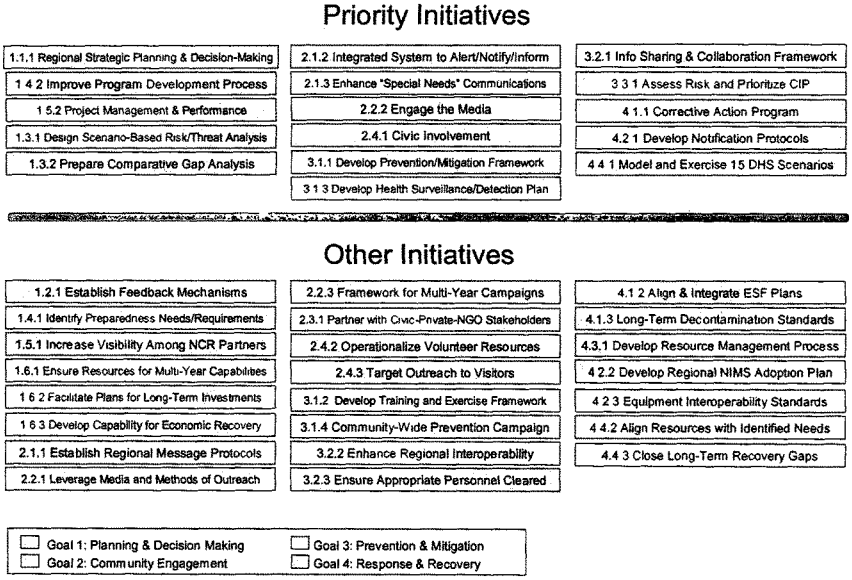
Strategic Goal 4

A sustained capacity to respond to and recover from "all-hazards" threats or events across the NCR.

Objectives

- Develop, adopt, and implement integrated plans, policies, and standards to facilitate response and recovery.
- Ensure the capacity to operate multi-level coordinated response and recovery.
- Ensure adequate and effective sharing of resources.
- Comprehensively identify long-term recovery issues

Annex C: NCR-HLS Strategic Initiatives



Governments of the District of Columbia,
Commonwealth of Virginia,
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

Readiness in the National Capital Region

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

March 29, 2006

Room SD 342
Dirksen Senate Office Building
Washington, DC 20510
2:30 P.M.

Testimony of the National Capital Region
Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia
Public Hearing on the Homeland Security in the National Capital Region
March 29, 2006

Mr. Chairman, Mr. Ranking Member and members of the Committee thank you for the opportunity to appear today to discuss the important topic of preparedness in the National Capital Region (NCR) [1]. It is an important discussion and a topic of added significance in light of the catastrophic events related to Hurricane Katrina.

We have submitted our joint written testimony for the record. As stated in our written testimony associated with the July 14, 2005 hearing, it is in the continuing spirit of cooperation between Virginia, Maryland and the District of Columbia that we opted for joint written testimony. We share goals, ideals and most importantly an intense commitment to the safety and security of the NCR that transcend the political boundaries defining the geography of the NCR.

We have four goals today. First, we want to provide a synopsis of the planning framework and process, including key considerations and challenges used in the development of the *National Capital Region Homeland Security (NCR-HLS) Strategic Plan*, that have occurred since the last hearing, and discuss the results of our efforts. The regional strategic plan integrates pre-existing federal, state, local, regional, and practitioner-level planning documents into one unique strategic plan for the region, while also infusing newly identified goals and priorities for regional preparedness. Second, we want to help this Committee better understand the enhanced collaborative actions we have taken since July 2005, to achieve higher levels of regional coordination to prevent attacks and, if necessary, to respond. We have implemented the vision set forth by the National Preparedness Goal and developed a Homeland Security Program in the NCR to cover the full spectrum of activities necessary to address the entire range of threats and hazards. Our collaborative actions allow us to place our collective work in the NCR into a broader perspective with the development of our FY 06 Homeland Security application. Third, we would like to present our collective vision for regional preparedness utilizing the FY 06 Homeland Security Grant Program Guidance. This Guidance is a significant evolution in the way we approach preparedness within the NCR. Fourth, we want to articulate our progress by pointing to measurable steps taken that are currently underway to improve the readiness of public and private sector and our residents across the region.

NCR Strategy

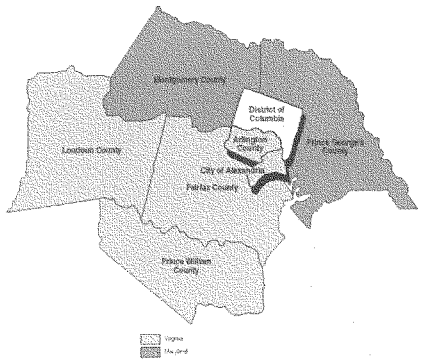
Please refer to Mr. Lockwood's testimony submitted under separate cover by DHS

Regional Collaboration and Decision-Making

As stated in our July 14, 2005 testimony, the coordination challenge we face in the NCR is driven by our adherence to the principles set forth in the formation of our nation. There is no single person, office, level or branch of government vested with the ability to direct the full range of preparedness activities across all others in the region because the region comprises multiple

[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.

sovereign jurisdictions. We must collaborate and coordinate to achieve our public safety objectives. America's decentralized structure of government, requires the NCR to operate as a collaborative enterprise to achieve increased levels of readiness that correspond to the priorities of all of its stakeholders.



The leadership of the District of Columbia, the State of Maryland, the Commonwealth of Virginia, and the Department of Homeland Security's Office for National Capital Region Coordination are working in partnership to reduce the risk faced in the NCR from all hazards. We recognize the evolving character of the threat and the need for new types of collaboration in strategic planning, spending, and execution of grant dollars among local, State, Federal, and private sector communities.

Any major event in the NCR, especially terrorism, will invariably have cross-geographic consequences and impact. Federal grant dollars were allocated to the NCR to assist in building capabilities for any major event The NCR's priority in expanded regional collaboration highlights the need for embracing partnerships across our jurisdictions, regions, and States in building capabilities, planning strategically and executing cooperatively.

The importance of federal/state/local jurisdictional collaboration cannot be stressed enough. Although regional collaboration is crucial in the NCR, the District of Columbia, Maryland, and Virginia are still sovereign jurisdictions. Maryland is made up of 26 local jurisdictions and Virginia has 134. Out of the 26 local jurisdictions in Maryland, only two, Prince George's County and Montgomery County, are part of the NCR. In Virginia, only nine local jurisdictions: Fairfax County; Fairfax City, Manassas, Manassas Park, Arlington County; Prince William County, the City of Alexandria, the City of Falls Church, and Loudoun County, are part of the NCR.

While the NCR is often the higher-profile region, the Maryland and Virginia jurisdictions that make up the NCR (with the District of Columbia) are just a fraction of the jurisdictions that make up the states as a whole. It is the role of the Maryland and Virginia SPG members to coordinate and synthesize the interaction with the NCR jurisdictions as it relates to the rest of the state. For example, the NCR cannot support a critical infrastructure program the states as a whole do not support. Likewise, the NCR states cannot support a program in the NCR that the local jurisdictions do not support. The NCR SPG has engaged the Regional Programmatic Working Groups (described in more detail below) to ensure this state to regional collaboration continues. By having the same experts participate in their respective states as well as in the NCR, not only is the region strengthened, the states individually are strengthened as well. Ultimately, the SPG membership ensures policy, program, and fiscal coordination between the region and the states to ensure optimal leveraging and synchronization.

Prior to 9/11, efforts existed to prepare individual jurisdictions in the NCR to counter the terrorist threat. These efforts, while laudable, did not enjoy overarching regional focus, instead they relied on the traditional nationwide approach, which was more jurisdictionally independent. To provide that needed coordination, on August 5, 2002, in cooperation with the Advisor to the President for Homeland Security, the three regional government executives—the Governor of the State of Maryland, the Governor of the Commonwealth of Virginia, and the Mayor of the District of Columbia—signed a joint statement to pursue *Eight Commitments to Action* to improve coordination in preventing, preparing for and responding to a terrorist incident.

By endorsing the *Eight Commitments*, 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 (SPG) to provide continuing policy and executive level focus to the region's homeland security concerns through fulfillment of the *Eight Commitments.* The SPG also was 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.

The creation of the Senior Policy Group was a function of necessity to further decision making and coordination between local and state governments, the federal government, and the private sector. The SPG works extensively with local governments through the Chief Administrative Officers (CAO) committee. This evolving partnership allows for mutual responsibility and a persistent commitment to enhance emergency preparedness and response capabilities in the NCR. The SPG is the final adjudicator for decisions, relying on extensive input and advice from the CAO Committee.

Strategic Plan Implementation

Since the July 14, 2005 testimony to this committee, the NCR leadership has remained committed to enhancing and strengthening the coordination among stakeholders at the local and jurisdictional levels.

As stated in previous testimony, the Office of Homeland Security within the District, which acts as the NCR Grants and Program Management Office, was created to serve the region's needs. The purpose of the Office is to provide, by agreement with all participants, comprehensive grant and program management oversight at the regional level. We have made it the priority of this Office to make certain that all UASI grant funds are expended within the timeframes of the grants and currently issued extensions. This office is the reliable source of information on the amount of first responder federal grant funds available to each NCR jurisdiction, budget plans, and criteria used to determine spending priorities and actual expenditures

The establishment of a program management function is a mechanism to effectively manage the large-scale complexity of issues and changes that arise during program implementation and project execution. The Office guides the implementation of the NCR 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.

The key benefits of this function 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.

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

- Enhance and continually adapt the framework for regional strategic planning and decision-making to achieve an optimal balance of capabilities across the NCR;
- Design and implement an integrated and iterative performance and risk-based regional planning process that engages appropriate NCR homeland security partners;
- Establish an NCR-wide assessment process to identify and remedy gaps in regional, jurisdictional, and sector preparedness;
- Develop a requirements generation and prioritization process to effectively utilize available public and private homeland security resources to satisfy NCR regional, jurisdictional, and sector preparedness;
- Enhance the oversight and accountability process that coordinates, tracks, and evaluates the implementation and effectiveness of regional decisions; and
- Adopt a lifecycle cost and investment approach to generate enduring and sustainable preparedness across the NCR.

Program Management

To further enhance the overall administration and management of the specific tasks associated with the NCR homeland security grant funding the SPG has created a Program Management function within the NCR Grants and Program Management Office. The program management mission is to provide effective program level management of the projects associated with the Homeland Security Grant funding and to develop and implement the necessary processes, methodologies and tools to ensure projects are completed on schedule and within budget and scope. The Office works directly with the RPWGs and communicates with the NCR senior management team (i.e., the SPG and CAO committee) and other regional stakeholders, such as the NCR Emergency Preparedness Committee. The Office is held accountable for meeting the performance measurements set forth in Enhancement and Investment Plans developed as part of the NCR UASI application.

The program management function has been integrated with the grants function in the NCR Grants and Program Management Office. The benefits of such a partnership are reflected in the dramatic increase in expenditures and obligations associated with the current NCR Homeland Security Grant funds.

One of the clear directions that came out of the NCR strategic planning process was the necessary growth and empowerment of the Regional Programmatic Working Groups (RPWGs). The RPWGs are outcome-driven, accountable working groups that develop and oversee programs and the associated projects within the NCR. Each RPWG is made up of state representatives, local representatives, and in some cases, representatives from the private sector. The state and local representatives of the RPWGs are the same individuals who are responsible for driving these programs in their respective states. The intent of the RPWGs is to build, sustain, and share capabilities among the states and the jurisdictions that comprise the NCR and develop performance measures to allow us to gauge our preparedness within the Region. The RPWG strengthens our ability to plan and execute programs while taking advantage of pre-existing capabilities and programs within the States and localities. This has equated to increased cost efficiency across all projects by allowing us to leverage and complement grant programs. This collaboration is exemplified with the development of our NCR interoperability program.

The lack of interoperable wireless communication systems is an issue that continues to affect public safety agencies in communities across the country. In many cases, agencies are unable to communicate or share critical voice and data information with other jurisdictions or disciplines during major events or even day-to-day operations. Communications interoperability underpins the ability of Federal, State, and local entities to work together effectively to prevent, protect against, respond to, and recover from terrorist attacks, major disasters, and other emergencies.

The Interoperability RPWG was established to provide oversight in the development of a secure/private technology infrastructure required to facilitate interoperability for voice, data, and video across the NCR, as well as interconnecting emergency operation centers, public safety communication centers (911 operations), other public safety/emergency management offices and first responder field/mobile operations. The program includes several projects such as:

interconnecting fiber "I-Nets" and other jurisdiction networks; providing a NCR wide interconnected broad-band wireless infrastructure facility; and developing a Web based, neutral host data-exchange standards and tools utilizing WebEOC.

Interoperability is one of the priority initiatives within our strategic plan which the NCR has already invested approximately $18 million.

As outlined in Table 1, the Office is currently managing five Department of Homeland Security grants totaling $188 million dollars for the NCR.

Table 1[2]

Grant	Effective Award Date	Period of Performance	Grant Award
03 Urban Areas Security Initiative I	12/30/2003	6/1/03 – 11/30/05	$18,081,000
03 Urban Areas Security Initiative II	12/30/2003	7/1/03 – 6/30/06	$42,409,851
04 Urban Areas Security Initiative	3/29/2004	12/1/03 – 5/30/06	$31,921,361
05 Homeland Security Grant Program	3/1/2005	10/1/04 – 3/31/07	$82,000,000
05 Transit Security Grant Program	7/18/2005	7/1/05 – 12/31/07	$13,600,000
	Total Current Grant Programs administered by NCR SAA:		**$ 188,012,212**

The UASI grant program provides direct financial assistance to address specific regional needs. Of the total $188 million UASI grant funds that have been allocated to the NCR since FY 03, approximately 99.1% of the funds have been either expended or obligated (refer to Table 2 below).

Table 2

Grant	Grant Award	Amount Expended	Amount Obligated*	Remaining Balance
03 Urban Areas Security Initiative I	$18,100,000	$17,930,373	$150,620	$0
03 Urban Areas Security Initiative II	$42,409,851	$37,883,960	$4,525,891	$0
04 Urban Areas Security Initiative	$31,921,361	$15,271,694	$15,130,653	$0
05 Homeland Security Grant Program	$82,000,000	$3,204,083	$77,298,371	$1,497,546
05 Transit Security Grant Program	$13,600,000	$0	$13,450,000	$150,000
TOTALS	**$188,012,212**	**$74,290,110**	**$106,555,535**	**$1,647,546**

[2] The 03 Urban Areas Security Initiative Parts I and II have been extended through November 30, 2005 and June 30, 2006, respectively.

The NCR expenditure rate in July 2005 was approximately 17.6 percent, per the United States Office of Management and Budget. Since then, the NCR has increased its expenditures to approximately 39.5 percent even with an additional award of $13.6 million associated with the FY 05 Transit Security grant. And as the foregoing table indicates, virtually all of the funds have been programmed and obligated.

We, the SPG, have the responsibility of monitoring the homeland security grant funding for each of their individual States and Urban Areas on a day-to-day basis. The decisions are based on what is being accomplished with the multitude of grant funds ranging from CDC funding for the bioterrorism, other Federal funding sources, as well as the more than $500 million annually that the state and local jurisdictions contribute to a variety of preparedness activities, such as law enforcement, fire, or emergency medical services.

To further enhance coordination and visibility among funding streams, the State Administrative Agents from the District, Maryland, and Virginia have begun to collaborate regarding the numerous projects associated with the different funding streams. The NCR has also developed a secure web portal that serves as an information management tool for accessing and sharing regionally-relevant data, to include comprehensive information on the availability and spending of homeland security grant funds in the NCR, and regional priorities for determining future spending of those funds. Having the information readily available for our NCR partners to review has allowed us an increased level of visibility and transparency.

We also, during this period, enhanced and matured our everyday coordination and cooperation of our response capabilities. It is important to make sure that people who are responding to an incident have the necessary skills and equipment to properly and safely do their job, and that the NCR has the mechanisms in place for appropriate coordination and decision making consistent with the National Incident Management System and the National Response Plan.

Examples of our enhanced, everyday coordination and collaboration is demonstrated with the increased communications between Federal, State, and local authorities since the May 11, 2005 airspace incursion and the partnership that has been developed with General Guy Swan of the Joint Forces Command (JFC). Domestic Events Network (DEN) monitoring stations have been installed within local agencies' emergency operation centers to warn of airspace violations via direct communication from the FAA. We have cross-deployed personnel in operations centers to enhance real-time information sharing and situational awareness across the region and with our federal partners. Through alert systems and WebEOC, our operations centers are virtually linked, which helps ensure seamless and timely communications.

The NCR is currently working with General Swan, Commanding Officer of the NCR JFC to improve the coordination between Department of Defense and the NCR on providing military forces and capabilities during an event, providing an opportunity to exercise together, and allowing the NCR and the JFC to begin to merge intelligence. The NCR JFC is engaged in our strategic planning process, hosts monthly exercise coordination meetings, serves on the NCR Emergency Preparedness Council, and generally works in partnership with us and other stakeholders throughout the region to mutually strengthen our capabilities.

With each incident that happens, each activity that occurs in the region, we try to learn from those activities and fold the lessons learned back into our day-to-day operations. The lessons learned from May 11, 2005 have already been incorporated. A key piece of this process is active coordination and communication with our partners. We are now similarly working across all levels of government to enhance coordination and notification with respect to potential bioevents.

As stated earlier, we are significantly enhancing regional management and planning by utilizing a continuing regional strategic planning process. The current regional strategic plan integrates pre-existing Federal, State, local, regional, and practitioner-level planning documents into one unique revised strategic plan for the NCR, while also infusing newly identified goals and priorities for regional preparedness. Such a plan serves as our guiding framework, and will include measures of performance against which we can evaluate ourselves as a region.

Our successful regional collaboration allows for a multi-jurisdictional and multi-disciplinary approach to build capabilities for all four mission areas within our Strategy, spreading costs, and sharing risk across geographic areas. This approach has increased opportunities to create efficiency and leverage capabilities and funds (Federal, State, and local) across the NCR.

FY 06 Grant Application Process

We understand the interest of this Committee in wanting to see a plan that includes specific outcomes, milestones, and performance measures. We, of course, share that interest. We did reach a milestone in terms of the development of our strategic plan, as previously discussed, and as we indicated we would when we last testified. At that milestone, we did have a consensus plan in terms of vision, mission, goals, objectives, and initiatives to support those objectives, but did not fully develop the remaining elements for all initiatives. We met with your staff in December 2005, shortly after having received the FY 2006 homeland security grant guidance, and indicated that the grant application process would lead to the development of a plan that would have those elements by this month. In the intervening months, we have undertaken a process, described below, which while valuable and intensive, did not get us to the point where specific outcomes, milestones, and performance measures were in place.

On March 31, 2005, the Department of Homeland Security issued the Final National Preparedness Goal (The Goal). The Goal establishes a vision for a National Preparedness System, while the accompanying National Preparedness Guidance provides an introduction to several of the key building blocks for that system, including the National Planning Scenarios, Universal Task List Target Capabilities List, and seven National Priorities. The Strategy Guidance issued on July 22, 2005, provided follow-on guidance in placing preparedness efforts within the context of this new doctrine. This guidance has allowed the NCR to update our Homeland Security Strategy to ensure that we support the Goal and reflect the seven National Priorities. The FY 2006 Homeland Security Grant Guidance has allowed the NCR to define the resources needed to support the Goal and our Strategy.

The Goal establishes an emphasis upon all hazards, capabilities-based planning that creates baselines for operational missions and tracks resources allocation towards achieving them. The Goal defines capabilities-based planning as, "planning, under uncertainty, to provide capabilities suitable for a wide range of threats and hazards while working within the economic framework that necessitates prioritization and choice." The capabilities-based planning approach encourages all levels of government to collaborate seamlessly in order to identify critical gaps, develop strategies to address those gaps and deficiencies, track and report on progress towards resolution, and aggregate this information to better understand our level of preparedness. This approach also assists the NCR leaders to allocate resources systematically to close capability gaps, thereby enhancing the effectiveness of preparedness efforts. This approach will ultimately provide the NCR a means to answering the following three fundamental questions: "How prepared do we need to be?" "How prepared are we?" and "How do we prioritize efforts to close the gap?"

In FY 2006, DHS has adopted a common risk and needs-based approach to allocating funds for the UASI program to strengthen national preparedness. Risk has been determined at the Federal level using a risk formula developed by DHS in conjunction with other Federal entities. The need was determined as an output of the Program and Capability review that we undertook for the region within the context of our strategic plan. 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 global program management plan for the entire NCR homeland security program that looks beyond homeland security 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.

From January 9th through March 2, 2006, the NCR implemented the NCR FY 06 grant application process, based on the *FY 2006 Homeland Security Grant Program – Program Guidance and Grant Application Kit* released in December 2005. The following paragraphs outline the NCR process and the results it produced.

On January 9-11, 2006, the NCR held the Homeland Security Target Capabilities Workshop, a collaborative meeting with the Regional Emergency Support Functions (RESFs) 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 requested to focus on seven (7) National Priorities and eight (8) specific Priority Capabilities that flow from them. Under the DHS grant provisions, assessment of the (8) Priority Capabilities is mandatory for all jurisdictions.

1. Information Sharing and Dissemination;
2. Law Enforcement Investigation and Operations;
3. Interoperable Communications;

4. CBRNE Detection;
5. Explosive Device Response Operations;
6. WMD/Hazardous Materials Response and Decontamination;
7. Mass Prophylaxis; and
8. Medical Surge

In addition, based on the priority areas identified in the strategic plan, the NCR elected to address the following six additional capabilities in its review, for a total of 14 capabilities:

9. Citizen Preparedness and Participation;
10. Citizen Protection: Evacuation and/or In-Place Protection;
11. Critical Infrastructure Protection;
12. Critical Resource Logistics and Distribution;
13. Mass Care (Sheltering, Feeding and Related Services); and
14. Planning.

The table below shows the relationship of the 14 NCR Priorities to the 7 National Priorities which they support.

7 NATIONAL PRIORITIES	14 NCR PRIORITY CAPABILITIES
Implement the National Incident Management System and National Response Plan	✓ Critical Resources Logistics and Distribution ✓ Planning
Expanded Regional Collaboration	✓ Mass Care
Implement the Interim National Infrastructure Protection Plan	✓ Critical Infrastructure Protection
Strengthen Information Sharing and Collaboration Capabilities	➢ Information Sharing and Dissemination ➢ Law Enforcement Investigation and Operations
Strengthen Interoperable Communications Capabilities	➢ Interoperable Communications
Strengthen CBRNE Detection, Response and Decontamination Capabilities	➢ CBRNE Detection ➢ Explosive Device Response Operations ➢ WMD/HazMat Response and Decontamination
Strengthen Medical Surge and Mass Prophylaxis Capabilities	➢ Mass Prophylaxis ➢ Medical Surge
	✓ Citizen Preparedness and Participation ✓ Citizen Protection : Evacuation and/or In-place Protection

✓ **NCR added priority**

During the January 9-11, 2006 session, Regional Emergency Support Function (RESF) representatives reviewed their assigned target capability summary sheets. They reflected on

whether or not the National Capital Region has the ability to meet the desired outcomes of the Target Capabilities, citing "strengths" or "weaknesses" in the regional capability. Each RESF representative identified regional resource needs to meet or maintain the target capabilities. The resource needs were identified by the following five resource categories: People; Equipment; Training; Exercises/Evaluation; and Plans, Policies and Procedures.

The responses from the RESF representatives were consolidated in a *Summary Report of Discussion Topics and Issues* that served as the basis for development of Concept Papers/Initiative Plans in a prescribed format, to identify specific projects that were supportive of sustaining/maintaining current strengths or correcting identified weaknesses and supporting strategic priority initiatives. The RESF representatives submitted these Concept Papers/Initiative Plans to the NCR Grants and Program Management Office on January 27th, 2006 for an eligibility review and prioritization.

On February 9th, 2006, another session was conducted to review and rank the 100+ Concept Papers/Initiative Plans submitted. Individuals representing the 16 RESFs and the 15 Regional Program Working Group members evaluated the concept papers based upon each of the following five factors:

1. How well the Concept Paper/Initiative Plan addressed the identified strengths and weaknesses of the 14 NCR Priority Capabilities
2. How well the Concept Paper/Initiative Plan addressed the identified strengths and weaknesses if the 3 overarching national priorities
3. How appropriate the funding level is to the proposed deliverable proposed by the Concept Paper/Initiative Plan
4. How beneficial the concept paper will be in addressing regional strategic plan initiatives
5. How important it is to implement the Concept Paper/Initiative Plan in FY 2006.

The outcome of this practitioner-level evaluation was complied for use by the SPG/CAOs in a workshop held on February 15th, 2006 at which we determined the target funding amounts for each investment justification that we would submit in our application. We determined 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 can be practically accomplished within a two-year grant timeframe. The senior leadership of the NCR also considered the use of FY 2005 funding and the level of maintenance of current projects and other factors to inform final decisions. The proposed allocation of FY 2006 UASI grant resources as a result of the process is as follows.

Investment Area	**Allocation**
CBRNE Detection	$5.25M
Critical Infrastructure Protection	$26.25M
Citizen Preparedness and Participation	$10.00M
Citizen Protection	$11.00M
Critical Resource Logistics and Distribution	$21.00M
Explosive Device Response	$9.45M

Intelligence/Information Sharing/Dissemination	$10.05M
Interoperable Communications	$42.00M
Law Enforcement Investigation & Operations	$11.55M
Mass Care	$5.00M
Mass Prophylaxis	$3.67M
Medical Surge	$6.30M
Planning	$15.22M
WMD/Hazardous Materials Response & Decon	$11.50M
Total	**$188.24M**

The NCR Grants and Program Management Office developed the grant application package that was submitted to DHS on March 2, 2006.

Between March 2 and the FY 2006 grant award in May, the NCR Grants and Program Management Office is developing individual program plans and charters for each of the RPWG, and each RPWG will assume ownership for the investment areas associated with our FY 2006 UASI application. The charters allow us to define the RPWG and have the appropriate representation from the State and local perspective. The program plans will give the RPWG and the NCR senior leadership a picture of:

- How the program will implement initiatives of the strategic plan.
- How the work will be done.
- How much funding is needed and where it will come from (e.g., state revenues or federal programs).
- Where the connections are across projects.
- What integrated capabilities will be developed in each phase.
- How to assess whether the program is on track and achieving its stated objective.

RPWGs will provide planning and program management for implementation of the strategic plan initiatives, including those that will be funded via the region's FY 2006 UASI grant award, which is expected in May 2006.

Further sessions of the SPG/CAOs have also been scheduled in April to establish a process that will be used for selecting specific projects for the upcoming grant award, develop and assign action items for activities that need to be performed in advance of the decision meeting to have the data necessary for making decisions, and to finalize project decisions.

Enhancements/Moving Forward

Related to the strategic framework is the creation of integrated, multi-jurisdictional performance measures to effectively monitor and assess execution of the regional strategic plan. In addition to integrating guidance from DHS national efforts such as *HSPD-7 Critical Infrastructure Identification, Prioritization* and *HSPD-8 National Preparedness,* the region is also undertaking a more detailed assessment, entitled Emergency Management Accreditation Program (EMAP) and currently undergoing a review of our emergency operation plans through the National Plan review process initiated by the President and Congress following Hurricanes Katrina and Rita.

The EMAP process combines a self assessment, documentation, and peer assessment to provide an independent evaluation of a jurisdiction's disaster management capabilities and a roadmap for continuous improvement. Standards found in EMAP are consistent with the NFPA 1600 Standard on Disaster/Emergency Management and Business Continuity Programs, 2004, which was recommended by the 9/11 Commission as the national preparedness standards. EMAP will measure the status of current capabilities in the NCR relative to established EMAP standards, assist in identifying and prioritizing future improvements, and enhance strategic framework measures for resource allocation.

Following Hurricanes Katrina and Rita in August and September 2005, the President and Congress directed DHS to undertake an immediate review, in cooperation with State and local counterparts, of emergency operation plans in all States and territories and the 75 largest urban areas prior to the start of the next hurricane season on June 1, 2006. They also directed the Department of Transportation (DOT) and DHS to jointly review and assess Federal and State evacuation plans for catastrophic hurricanes and report the findings and recommendations. To address these requirements, DHS and DOT have coordinated a two phased Nationwide Plan Review. The first phase involved a self assessment and certification of plans by the NCR. Phase one was completed and submitted into DHS on January 17, 2006. The second phase involves peer-led site visits to validate the self assessments and assist the NCR in identifying our specific requirements for Federal planning assistance. Phase two is scheduled to occur on April 20 -21, 2006. Both phases focus on efforts to identify, prioritize, and correct execution critical deficiencies.

The results of both processes – the EMAP Assessment and the National Plan Review – will be integrated into a final strategic plan that will serve the region for the next few years. This version of the plan will include specific outcomes, milestones, and performance measures, and will thus serve as a complete, implementation-oriented plan to which we will hold ourselves accountable. We plan to complete this final version of the current plan by August 2006.

We have continued to make good progress on many fronts in parallel with our strategic planning efforts and have achieved tangible results. These achievements range from interoperable communications to virtual emergency operation linkages. The following are examples of our accomplishments:

- We have begun building an interoperable communications platform which will provide secure, non-commercial, restricted access to critical regional communications networks for both high speed fiber optics and wireless broadband mobile communications. This platform will ensure that the infrastructure is in place for facilitating real time, anytime data communications within the NCR. These advancements will increase data interoperability for all first responders within the region and allow the NCR to better plan for and respond to NCR emergencies and disaster events. The NCR is profoundly changing the manner in which incidents and day-to-day interactions. The ability for real-time data exchanges (video conferencing, video, maps, sensor data etc.), whether to/from the Emergency Operations Center (EOC) or on scene in the field, will be possible not

only on a textual basis, but also for pictures, video and GIS information. The ability to effectively deploy, manage and track resources (personnel as well as inventory) across the entire region will also be made possible. All of which significantly prepares the region to efficiently and effectively respond to and manage regional disasters.

- We have developed an electronic surveillance system (ESSENCE) for the early notification of community-based epidemics. ESSENCE uses both traditional and non-traditional data such as hospital emergency room chief complaints, military outpatient encounters, physician office visit claims, and over the counter medication sales to displays potential epidemiological anomalies.

- We have completed the *National Capital Region Surge Capacity Concept of Operations Plan.* The role of this plan is to enhance inter-agency and inter-jurisdictional response coordination and communication during a naturally occurring or man-made event that results in the potential for significant health impact, including, but not limited to large number of casualties requiring acute inpatient care, home care, quarantine, and isolation, mass prophylaxis or behavioral health care or causing large numbers of deaths. This document pulls together existing plans and seeks to identify and link those common regional planning steps with applicable local response activities.

- We are currently linking (via hardline cable) all emergency operation centers (EOC) within the NCR and installing a common communication\emergency operation software (WEBEOC). This will allow all EOCs to communicate seamlessly during an incident and not dependant on commercial means of communications.

- Each jurisdiction within the NCR has been supplied with an electronic citizen notification system which allows for free text-alert notification of emergency and incident-specific messages to citizens by email or cell phone. If citizens sign up for the alert notifications they will be given specific information on what to do and what not to do during an incident.

- We have also just completed the purchase of a second round of turn-out gear for all fire fighters within the NCR. This will allow an individual firefighter to continue to function even if the first round of gear is contaminated during an incident.

There has been significant activity across the NCR since the last hearing. These efforts have resulted in better-prepared communities in both the public and private sectors. Most notably the awareness of the threat of terrorism permeates policy discussions at all levels of government, in the private sector, and with our residents.

The NCR is the Model for the Nation

Multi-state and multi-jurisdiction efforts, such as the development of RPWGs and the development of interoperable communications systems, continue to place the NCR at the forefront of emergency preparedness. The NCR's achievements, including unprecedented

coordination across states, jurisdictions, and committees at all levels, allowed us to lead the Nation in our level of emergency preparedness. We built on a foundation of shared leadership and responsibility to secure our region by limiting the impact of disasters before they occur; we are prepared to respond quickly and effectively when disasters occur with well trained and equipped teams; and continue to address gaps in hazard preparedness within the NCR.

To date, our accomplishments are significant:

- We developed the framework of the *2005 Update to the NCR-HLS Strategic Plan*, which includes the *Mission, Vision, Guiding Principles, Strategic Goals, Objectives, and Initiatives*. In the coming months we plan to invest in maturing the 45 initiatives, focusing on the development of performance measures and timelines to ensure the effective implementation of these initiatives.

- We continue to enhance a collaborative culture for planning, decision-making, and implementation across the NCR.
- We are evolving our homeland security programs (State and local) to capabilities/ performance-based approach and so we can identify critical gaps and adjust our strategy to address those gaps and deficiencies.
- We are developing an enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events.
- We continue to strengthen a sustained capacity to respond to and recover from "all-hazards" events across the NCR.

That said, the costs of simply maintaining this level of preparedness are significant, and the NCR requires continued funding for its efforts. With the proper financial support, personnel, management, and coordination, the NCR will be able to remain a national leader in emergency preparedness; allowing it to successfully protect the citizens, workers, and visitors in the National Capital Region from risks of all kinds.

The leadership of the NCR has developed comprehensive plans for public safety data interoperability. In doing so, we have discovered issues requiring regional focus and resources and that are dramatically enhanced with support from our Federal partners. Broadband wireless operations in 700 MHz spectrum is a significant example of such a need.

The NCR has developed a plan to build the nation's first regional seemless interoperable wireless broadband network of networks in 700 MHz. The NCR requires your assistance in accelerating the FCC waiver process to operate such a network in a highly targeted region to provide a robust, reliable, broadband wireless communications for public safety capable of withstanding power outages and unaffected by commercial cellular use.

Additionally, in order to complete this build-out, we require $80 million to finish coverage beyond the beltway to the entire region and to provide sufficient quantities of subscriber devices

to equip the region and make available embedded wireless solutions that are public safety grade. Finally, we request Congressional consideration for a Digital Television pilot program in the National Capital Region that would clear broadcasters from the 700 MHz band quicker than the current 2009 date and provide the FCC and Congress valuable lessons learned before a national implementation. This request would result devices, infrastructure, and capacity that supports streaming video, overhead pictometry, and other bandwidth intensive applications throughout the National Capital Region.

Another issue is the lack of Emergency Management Preparedness Grant (EMPG) funds needed to provide personnel to address the weakness identified in our FY 06 grant application process. This process allowed us to define our strengths and weakness against capabilities. Personnel are needed to allow the NCR to better prepare our jurisdictions and citizen in time of a disaster.

We thank you for this opportunity to appear before you today on this important issue and are available for any questions that you may have.

United States Government Accountability Office

GAO

Testimony

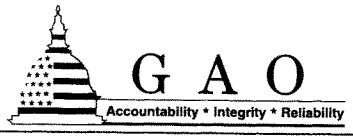
Before the Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia; Committee on Homeland Security and Governmental Affairs, U.S. Senate

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HOMELAND SECURITY

The Status of Strategic Planning in the National Capital Region

Statement of William O. Jenkins, Jr.
Director, Homeland Security and Justice Issues



GAO-06-559T

March 29, 2006

GAO
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Highlights

Highlights of GAO-06-559T, a testimony before the Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia of the Committee on Homeland Security and Governmental Affairs; U.S. Senate

HOMELAND SECURITY

The Status of Strategic Planning in the National Capital Region

Why GAO Did This Study

The Subcommittee asked GAO to provide comments on the National Capital Region's (NCR) strategic plan. GAO 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 the Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia in July 2005.

In this testimony, we addressed completion of the NCR strategic plan, national and regional priorities, and strengthening any plan that is developed.

What GAO Recommends

Although we include no new recommendations in this statement, GAO continues to recommend that the ONCRC work with the NCR jurisdictions to quickly complete a coordinated strategic plan to establish and monitor the achievement of regional goals and priorities.

What GAO Found

Among its other statutory responsibilities, the Office of National Capital Region Coordination is charged with coordinating with NCR agencies and other entities to ensure adequate planning, information sharing, training, and execution of domestic preparedness activities among these agencies and entities. In May 2004 and again in July 2005, we recommended that the ONCRC complete a regional strategic plan to establish goals and priorities for enhancing first responder capacities that could be used to guide the effective use of federal funds.

Although work has continued on a NCR strategic plan for the past 2 years, a completed plan is not yet available. According to NCR officials, completion of the plan requires integrating information and analyses from other documents completed or nearly completed, and a plan may not be available before September or October of 2006.

The NCR's strategic planning should reflect both national and regional priorities and needs. The majority of the individual documents ONCRC provided to us as representing components for its strategic plan were developed in response to Department of Homeland Security fiscal year 2006 grant guidance to support the NCR's fiscal year 2006 grant application. It is appropriate and necessary that the NCR address national priorities, but the NCR's strategic plan should not be primarily driven by these requirements. It should integrate national and regional priorities and needs.

A well-defined, comprehensive strategic plan for the NCR is essential for assuring that the region is prepared for the risks it faces. A November 18, 2005, NCR PowerPoint presentation describes the NCR's vision, mission, goals, objectives, and priority initiatives. That presentation includes some elements of a good strategic plan, including some performance measures, target dates, and cost estimates. A completed NCR strategic plan should build on the current elements that the NCR has developed and strengthen others based on the desirable characteristics of a national strategy that may also be useful for a regional approach to homeland security strategic planning. As it completes its strategic plan, the NCR could focus on strengthening (1) initiatives that will accomplish objectives under the NCR strategic goals, (2) performance measures and targets that indicate how the initiatives will accomplish identified strategic goals, (3) milestones or timeframes for initiative accomplishment, (4) information on the resources and investments for each initiative, and (5) organizational roles, responsibilities, and coordination, and integration and implementation plans.

www.gao.gov/cgi-bin/getrpt?GAO-06-559T.

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

Mr. Chairman and Members of the Committee:

I appreciate the opportunity to be here today to discuss the National Capital Region's (NRC) strategic planning. The NCR is an area comprising the District of Columbia and surrounding counties and cities in the states of Maryland and Virginia. The NCR is the only area in the nation that has a statutorily designated regional coordinator—the Office of the National Capital Region Coordination (ONCRC) under the Department of Homeland Security (DHS).

One ONCRC mandate is to coordinate with NCR agencies and other entities to ensure adequate planning, information sharing, training, and execution of domestic preparedness activities among these agencies and entities. 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.[1] In our previous work, we provided recommendations regarding NCR strategic planning and the preparation of a strategic plan.

My statement today provides our preliminary observations on documents provided by ONCRC that describe current NCR strategic planning efforts. Specifically, I will comment on completion of the strategic plan, the impact of federal homeland security grant program requirements on NCR strategic planning, and observations on strengthening any plan that is developed.

We have only recently received new documentation related to the NCR's strategic plan and its development from the ONCRC and have not had an opportunity to review them fully. Consequently, my remarks are necessarily preliminary and are based on our limited review and analysis of the documents. We did our work in accordance with generally accepted government auditing standards.

[1] 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.: September 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).

Summary

In May 2004 and again in July 2005 we recommended that the Secretary of 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. Although work has continued on a NCR strategic plan for the past 2 years, a completed plan is not yet available to guide decision making such as assessment of NCR's strategic priorities and funding needs and aid for NCR jurisdictions in ascertaining how the NCR strategic plan complements their individual or combined efforts. ONCRC officials have explained that integration of additional information such as from an Emergency Management Accreditation Program (EMAP) assessment has delayed completion of a strategic plan.[2] ONCRC officials provided us several individual documents that they stated constituted the basic elements of the NCR's strategic plan. According to the ONCRC, one of the documents, a November 18, 2005, NCR Plenary Session PowerPoint presentation (updated from a November 15 document), contains the core elements of the NCR's strategic plan—the mission, vision, guiding principles, long-term goals, and objectives. According to ONCRC officials, an initial strategic plan will not be available until at least September or October 2006.

NCR strategic planning should reflect both national and regional priorities and needs. The November 18 PowerPoint presentation presents the NCR's goals, objectives, and initiatives, including those considered priorities. If the NCR's homeland security grant program funding documents prepared for DHS are used extensively in NCR strategic planning, a NCR strategic plan might primarily reflect DHS priorities and grant funding—national priorities—and not regionally developed strategic goals and priorities. The majority of the individual documents ONCRC represented as the basic elements of the NCR's strategic plan were developed in response to DHS homeland security grant program funding. Under the DHS funding guidance, the homeland security strategy of applicants for funding must incorporate DHS's National Preparedness Goal and related target

[2] The Emergency Management Accreditation Program 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.

capabilities. According to DHS, the strategy is to provide a strategic plan for the use of related federal, state, local, and private resources within a state and/or urban area before, during, and after threatened or actual domestic terrorist attacks, major disasters, and other emergencies. NCR initiatives developed to implement NCR's strategic goals and objectives presented in ONCRC documents are not all addressed in the DHS grant program funding documents and would require implementation and funding by NCR jurisdictions acting individually or in combination with others. Our preliminary work did not include an assessment of jurisdictional efforts to implement the NCR initiatives.

A complete NCR strategic plan based on the November 18 PowerPoint presentation should build on current elements and strengthen others based on our six characteristics for a national strategy that may be useful for a regional approach to homeland security strategic planning. These include characteristics such as goals, objectives, activities, and performance measures; resources, investments, and risk management; and organizational roles, responsibilities, and coordination. Our limited review indicates that as the ONCRC fleshes out the November 18 PowerPoint presentation that contains the core elements of the NCR's strategic plan, such strengthening could address: (1) initiatives that will accomplish objectives under the strategic goals, (2) performance measures and targets that indicate how the initiatives will accomplish identified strategic goals, (3) milestones or time frames for initiative accomplishment, (4) information on the resources and investment for each initiative, and (5) organizational roles, responsibilities, and coordination, and integration and implementation plans.

Background

Strategic plans developed by regional organizations can be effective tools to focus resources and efforts to address problems. Effective plans often contain such features as goals and objectives that are measurable and quantifiable. These goals and objectives allow problems and planned steps to be defined specifically and progress to be measured. 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 strategic plan for the NCR is essential for assuring that the region is prepared for the risks it faces.

The Homeland Security Act established the Office of National Capital Region Coordination within the Department of Homeland Security.[3] 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 ONCRC and the NCR faced three 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. These challenges included the lack of

- a set of accepted benchmarks (best practices) and performance goals that could be used to identify desired goals and determine whether first responders have the ability to respond to threats and emergencies with well-planned, well-coordinated, and effective efforts that involve police, fire, emergency medical, public health, and other personnel from multiple jurisdictions;
- a coordinated regionwide plan for establishing first responder performance goals, needs, and priorities, and assessing the benefits of expenditures in enhancing first responder capabilities; and
- a readily available, reliable source of data on the funds available to first responders in the NCR and their use.

Without the standards, a regionwide plan, and data on spending, we observed it would be extremely difficult to determine whether NCR first responders were prepared to effectively respond to threats and emergencies. Regional coordination means the use of governmental resources in a complementary way toward goals and objectives that are mutually agreed upon by various stakeholders in a region.[4] Regional coordination can also help to overcome the fragmented nature of federal programs and grants available to state and local entities. Successful

[3] 6 U.S.C. 462.

[4] GAO-04-1009.

coordination occurs not only vertically among federal, state, and local governments, but also horizontally within regions. The effective alignment of resources for the security of communities could require planning across jurisdictional boundaries. Neighboring jurisdictions may be affected by an emergency situation in many ways, including major traffic or environmental disruptions, activation and implementation of mutual aid agreements, acceptance of evacuated residents, and treating casualties in local hospitals.

NCR Has Not Produced a Strategic Plan

Although work has continued on a NCR strategic plan for the past 2 years, a completed plan is not yet available to guide decision making such as assessment of NCR's strategic priorities and funding needs and aid for NCR jurisdictions in ascertaining how the NCR strategic plan complements their individual or combined efforts. In May 2004, we recommended that the Secretary of DHS 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, and the department agreed to implement this recommendation. A related recommendation—that DHS monitor the plan's implementation to ensure that funds are used in a way that promotes effective expenditures that are not unnecessarily duplicative—could not be implemented until the final strategic plan was in place. In July 2005, we testified that, according to a DHS ONCRC official, a final draft for review had been completed and circulated to key stakeholders. The plan was to feature measurable goals, objectives, and performance measures.

ONCRC officials state that past references to a NCR strategic plan reflect availability of the core elements of the NCR strategic plan—the mission, vision, guiding principles, long-term goals, and objectives, but not a complete plan. They told us that these core elements, along with other information, will need to be compiled into a strategic planning document. ONCRC officials said that NCR leadership had elected to make the core elements available but to concentrate on preparing other planning and justification documents required for the fiscal year 2006 DHS grant process. NCR planning timelines indicate this decision was made in September 2005.

Because a strategic plan was not available, ONCRC officials provided us with several documents, which they have said that taken as a whole, constitute the basic elements of NCR's strategic plan. These documents include

- a November 18, 2005, NCR Plenary Session PowerPoint presentation containing information on NCR strategic goals, objectives, and initiatives;
- a February 1, 2006, National Capital Region Target Capabilities and NCR Projects Work Book;
- the March 2, 2006, District of Columbia and National Capital Region Fiscal Year 2006 Homeland Security Grant Application Program and Capability Enhancement Plan;
- the March 2, 2006, National Capital Region Initiatives; and
- the Fiscal Year 2006 NCR Homeland Security Grant Program Funding Request Investment Justification, submitted to DHS in March 2006.

According to ONCRC officials, a complete strategic plan is awaiting integration of additional information that in some cases is not yet complete. These include an Emergency Management Accreditation Program (EMAP) assessment of all local jurisdictions in the NCR and regional-level activities, which, according to the ONCRC, is completed but will not be available until sometime in April; the peer review of the status of state and urban area emergency operations plans after Hurricane Katrina, whose completion is anticipated in April 2006; and the fiscal year 2006 homeland security program grant enhancement plan for funding, which was completed in early March 2006. ONCRC officials estimate that after April 2006, it will take approximately 90 more days to integrate these documents and the core framework of the strategic plan, plus approximately 60 days for final review and coordination by the NCR leadership. Thus, an initial strategic plan will not be available until at least September or October 2006.

NCR Strategic Planning Should Reflect Both National and Regional Priorities and Needs

NCR strategic planning should reflect both national and regional priorities and needs. ONCRC officials have said that the November 18, 2005, NCR plenary session PowerPoint presentation represents the vision, mission, and core goals and objectives of the NCR's strategic plan. If the NCR's homeland security grant program funding documents prepared for DHS are used extensively in NCR strategic planning, a NCR strategic plan might primarily reflect DHS priorities and grant funding—national priorities—and not regionally developed strategic goals and priorities.

NCR's current goals and objectives are shown in table 1.

Table 1: NCR Vision, Mission, Goals, and Objectives from the November 18, 2005, NCR Plenary Session PowerPoint Presentation

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**
1. A collaborative culture for planning, decision making, and implementation across the NCR	1. Enhance and continually adapt the framework for regional strategic planning and decision making to achieve an optimal balance of capabilities across the NCR
	2. Design and implement an integrated and iterative performance and risk-based regional planning process that engages appropriate NCR homeland security partners
	3. Establish an NCR-wide assessment process to identify and remedy gaps in regional, jurisdictional, and sector preparedness
	4. Develop a requirements generation and prioritization process to effectively utilize available public and private homeland security resources to satisfy NCR regional, jurisdictional, and sector preparedness
	5. Enhance the oversight and accountability process that coordinates, tracks, and evaluates the implementation and effectiveness of regional decisions
	6. Adopt a life cycle cost and investment approach to generate enduring and sustainable preparedness across the NCR
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	1. Deliver timely, coordinated, and targeted emergency information across the NCR before, during, and after emergencies
	2. Raise the level of preparedness across the NCR by utilizing and enhancing public awareness and education campaigns
	3. Strengthen public-private-nongovernmental organization partnerships and communication through increased sharing of information and resources, and expanded participation in preparedness planning across the NCR
	4. Engage those who live, work and visit within the region in emergency preparedness across the NCR
3. An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events	1. Develop and sustain common, multidisciplinary standards for planning, equipping, training, operating, and (cross-jurisdictional) exercising to maximize prevention and mitigation capabilities across the NCR
	2. Strengthen the gathering, fusion, analysis, and exchange of multidiscipline strategic and tactical information and data for shared situational awareness
	3. Employ a performance and risk-based approach to critical infrastructure protection across the NCR, targeting resources where the threat, vulnerability, and impact are greatest
4. A sustained capacity to respond to and recovery from "all-hazards" events across the NCR	1. Develop, adopt, and implement integrated plans, policies, and standards to facilitate response and recovery
	2. Ensure the capacity to operate multilevel coordinated response and recovery
	3. Ensure adequate and effective sharing of resources
	4. Comprehensively identify long-term recovery issues

Source: NCR Plenary Session Presentation, November 18, 2005.

The other four documents that ONCRC represents as constituting the NCR strategic plan were developed in response to federal requirements under the National Preparedness Goal and to support the NCR's federal funding application. Required by Homeland Security Presidential Directive 8, the National Preparedness Goal is a national domestic all-hazards preparedness goal intended to establish measurable readiness priorities and targets. The fiscal year 2006 Homeland Security Grant Program (HSGP) integrates the State Homeland Security Program, the Urban Areas Security Initiative, the Law Enforcement Terrorism Prevention Program, the Metropolitan Medical Response System, and the Citizen Corps Program. For the first time, starting with the fiscal year 2006 HSGP, DHS is using the National Preparedness Goal to shape national priorities and focus expenditures for the HSGP. According to DHS, the combined fiscal year 2006 HSGP Program Guidance and Application Kit streamlines efforts for states and urban areas in obtaining resources that are critical to building and sustaining capabilities to achieve the National Preparedness Goal and implement state and urban area homeland security strategies.

All states and urban areas were required to align existing preparedness strategies within the National Preparedness Goal's eight national priorities.[5] States and urban areas were required to assess their preparedness needs by reviewing their existing programs and capabilities and use those findings to develop a plan and formal investment justification outlining major statewide, substate, or interstate initiatives for which they will seek funding. According to DHS, these 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.

It is, of course, important and necessary that the ONCRC, and other regional and local jurisdictions, incorporate the DHS's National Preparedness Goal and related target capabilities into their strategic planning. The target capabilities are intended to serve as a benchmark against which states, regions, and localities can measure their own

[5] 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.

capabilities. However, these national requirements are but one part of developing regional preparedness, response, and recovery assessments and funding priorities specific to the NCR. The NCR's strategic plan should provide the framework for guiding the integration of DHS requirements into the NCR's overall efforts.

While the NCR strategic plan is not complete, our preliminary review of the NCR initiatives developed to implement NCR's strategic goals and objectives presented in ONCRC documents indicates they are not completely addressed in the DHS HSGP documents. Using the November 18, 2005, PowerPoint presentation as our primary framework, we identified whether the NCR's 39 individual regional initiatives were specifically supported in whole or in part by programs or investments in the fiscal year 2006 HSGP documents (enhancement plan and investment justification) prepared for DHS. Our preliminary analysis indicates that regional initiatives defined under NCR strategic goals and objectives have some coverage—individual programs or projects—in the NCR documents prepared for DHS HSGP funding, but not complete coverage. We found that of the NCR's 16 priority initiatives, 10 were partially addressed in the enhancement plan and 12 were partially addressed in the investment justification. Of the other 23 NCR initiatives, 8 were partially addressed in the enhancement plan and 12 were partially addressed in the investment justification.

Implementation of regional initiatives not covered by HSGP funding likely would require NCR jurisdictions acting individually or in combination with others. Our preliminary work did not include an assessment of individual jurisdictional efforts to implement the NCR initiatives to determine if uncovered initiatives, particularly those considered priority initiatives, might be addressed by one or more of the NCR jurisdictions. 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.

As I stated earlier, ONCRC officials told us a complete NCR strategic plan is awaiting information from the EMAP assessment, DHS's peer review of the status of emergency operations plans in the aftermath of Hurricane Katrina, and the fiscal year 2006 homeland security grant program enhancement plan for funding. This information may further emphasize federal priorities in the regional planning process. However, information from these sources should complement the region's own assessment of preparedness gaps and the development of strategic goals, objectives, and initiatives. Officials from the District of Columbia, Virginia, and Maryland

emphasized this point when they testified before this committee in July 2005. At that time, they said that the regional strategic plan would be a comprehensive document that defined priorities and objectives for the entire region without regard to any specific jurisdiction, discipline, or funding mechanisms. In our view, a NCR plan should complement the plans of the various jurisdictions within NCR. In the aftermath of the September 11, 2001 terrorist attacks and the creation of the ONCRC, we would have expected that the vast majority of this assessment work should have been completed. The NCR is considered a prime target for terrorist events, and other major events requiring a regional response can be anticipated, such as large, dangerous chemical spills.

A Completed NCR Strategic Plan Could be Strengthened in Several Ways

A complete NCR strategic plan based on the November 18 PowerPoint presentation could be strengthened in several ways. In earlier work we have identified characteristics that we consider to be desirable for a national strategy that may be useful for a regional approach to homeland security strategic planning.[6] 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

[6] GAO. *Combating Terrorism: Evaluation of Selected Characteristics in National Strategies Related to Terrorism*, GAO-04-408T (Washington, D.C.: Feb. 3, 2004).

compared to those of others, and mechanisms for them to coordinate their efforts; and

- 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.

According to the ONCRC, the November 18 PowerPoint presentation contains the core elements of the NCR's strategic plan—the mission, vision, guiding principles, long-term goals, and objectives. Our preliminary review of the presentation indicates it reflects many of the characteristics we have defined as desirable for a strategy. The presentation includes some material on the purpose, scope, and methodology underlying the presentation; what it covers; and how it was developed. For example, the presentation contains a detailed timeline of key activities in the execution of the strategic plan and how initiatives were prioritized. Particular regional problems and performance gaps are described, including a section on regionwide weaknesses and gaps such as the lack of a regionwide risk assessment framework and inadequate response and recovery for special needs populations. These gaps are cross-referenced to priority initiatives. Specific goals, objectives, and initiatives are in the presentation, cross-referenced to the regional gaps. Some initiative descriptions identify if a cost is either high, medium, or low with more detailed cost information summarized in other places.

Our preliminary review indicates that as the ONCRC fleshes out the November 18 PowerPoint presentation into an initial, complete strategic plan, improvements might be made in (1) initiatives that will accomplish objectives under the strategic goals, (2) performance measures and targets that indicate how the initiatives will accomplish identified strategic goals, (3) milestones or time frames for initiative accomplishment, (4) information on the resources and investment for each initiative, and (5) organizational roles, responsibilities, and coordination, and integration and implementation plans. A discussion of how these elements could be strengthened follows.

Initiative Development to Match Goal Objectives

A NCR strategic plan could more fully develop initiatives to accomplish objectives under the strategic goals. For example, the presentation contains several objectives that have only one initiative. A single initiative may not ensure that objectives are accomplished, and it may merely be restating the objective itself. For example, there is only one initiative

(regional strategic planning and decision making process enhancements) for Goal 1's first objective (enhancing and adapting the framework for strategic planning and decision making to achieve an optimal balance of capabilities across the NCR). The initiative in large part restates the objective. This initiative might be replaced by more specific initiatives or the objective restated and additional initiatives proposed. Other objectives in the November 18 PowerPoint presentation provide a more complete picture of initiatives intended to meet the objective. For any future plan, these initiatives should be reviewed to determine if the current initiatives will fully meet the results expected of the objectives.

Performance Measure and Target Improvements

A NCR strategic plan could more fully measure initiative expectations by improving performance measures and targets. First, in some cases, the performance measures will not 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. Additional measures might be necessary. For example, Goal 1, Objective 1, Initiative 1 (regional strategic planning and decision-making process) includes measures such as (1) the decision-making system is well understood by all stakeholders based on changed behaviors and (2) time and resources required of stakeholders in the region to participate in the decision-making process is more efficient. These could be either refined for more direct measurement or additional measures posed, such as specifying behaviors for assessment or what parts of the process might be assessed for efficiency. Other measures in the document might serve as examples of more direct measurement, such as those that assess accomplishments using percentages in Goal 2, Objective 4, Initiative 1 (increasing civic involvement in all phases of disaster preparedness).

Second, 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. ONCRC officials said that the performance measures in the November 18 PowerPoint presentation had a greater emphasis on tracking outcomes, rather than inputs. They stated that as programs and projects are funded and implemented, a more thorough effort to develop associated measures for each will be undertaken. With regard to revising measures to reflect funded programs and projects, we would suggest NCR officials focus on measuring outcomes of programs and projects to meet strategic goals and objectives.

Our preliminary analysis indicates that several measures are outcome-oriented, such as those for Goal 2, Objective 4, Initiative 1 (increase civic involvement in all phases of disaster preparedness) that has outcome measures such as the percentage of the population that has taken steps to develop personal preparedness and the percentage of the population familiar with workplace, school, and community emergency plans. However, the majority of the presentation's performance measures and targets are process- or output-oriented and may not match the desired result of the initiative. For example, the Goal 1, Objective 4, Initiative 2 (facilitating practitioner priorities into the program development process) desired outcomes are (1) an easily understood process for participation and feedback of the practitioner stakeholder communities to influence programmatic initiatives and priorities defined in Goal Groups 2, 3, and 4 and (2) an awareness and increased participation in the range of resource opportunities. Measures for this initiative include communication across Emergency Support Functions (ESFs), an accountability chart, and governance guidance document show the feedback loop between ESFs and Senior Policy Group/Chief Administrative Officer (SPG/CAO) and Regional Working Groups. Such measures identify completed activities or tasks, not how well understand the process is. A fourth measure for this initiative—understanding/agreeing on roles, responsibility, and accountability—might closer to measuring the desired outcome.

Third, many initiatives do not have performance targets. For example, targets are missing for all or some measures for initiatives under Goal 1, Objectives 1, 3, 4, and 5. Other targets are unclear. For example, one measure for both Goal 1, Objective 3, Initiative 1 (tasks and capabilities for the NCR) and Goal 1, Objective 3, Initiative 2 (gap analysis, recommendations, and appropriate actions) is the progress toward closing the gap between baseline and target capabilities. The target is "what we think we need to accomplish in HSPD 7/8."[7] Any targets such as this would require clarification if progress toward results is to be assessed.

Timeframes

A future NCR strategic plan could also be strengthened by including more complete time frames for initiative accomplishment, including specific milestones. In some cases, the time frame description is missing or is inconsistent with timeframes provided within performance measure descriptions that generally cover activities or tasks. For example, Goal 3,

[7] HSPD stands for Homeland Security Presidential Directive.

Objective 1, Initiative 1 (region prevention and mitigation framework) has a time frame for fall 2006, but measures include targets in 2007. In several instances, measures of tasks or activities include milestones, but an overall time frame is not indicated. For example, Goal 3, Objective 3, Initiative 1 (critical infrastructure and high-risk targets risk assessments) and Goal 4, Objective 1, Initiative 1 (corrective action program for gaps) do not have timeframes identified, but measures have dates extending into 2007 and 2009 respectively.

Time frames should also match the initiative. In some cases, it is unclear if the initiative description should be expanded to encompass activities that appear outside the scope of the initiative as written, but result in the time frame for the overall initiative. For example, Goal 3, Objective 1, Initiative 3 (health surveillance, detection, and mitigation functions plan) has an overall time frame of December 2010, but the 2010 date reflects implementation of a patient tracking system. In the list of measures, the plan itself is targeted for December 2008. Either the initiative description could be changed to include the system or the patient tracking system measure could be removed or revised.

Resources and Investments

A future NCR strategic plan could provide fuller information on the resources and investments associated with each initiative. For example, each initiative in the November 18 PowerPoint presentation has a section for cost and cost factors. However, there is not an explanation in the document as to what cost categories of high, medium, or low mean in terms of dollar ranges. ONCRC officials told us that these descriptions should be considered more notional in nature, with a low usually meaning well under $1 million and those rated high in the tens of millions. In many cases, the categorization of cost for an initiative is missing from the November 18 PowerPoint presentation initiative sections. More specific cost information by initiative, such as the funded and unfunded grant information that is provided in a summary format, would facilitate decision making in comparing trade-offs as options are considered. A plan also could be improved by including the sources of funding for the anticipated costs, whether federal, state, or local, or a combination of multiple sources.

Organizational Contributions and Integration and Implementation Planning

Last, 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. The plan might also 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.

Concluding Observations

There is no more important element in results-oriented management than the effort of strategic planning. This effort is the starting point and foundation for defining what an organization seeks to accomplish, identifying the strategies it will use to achieve desired results, and then determining how well it succeeds in reaching results-oriented goals and achieving objectives. Establishing clear goals, objectives, and milestones; setting performance goals; assessing performance against goals to set priorities; and monitoring the effectiveness of actions taken to achieve the designated performance goals are all part of the planning process. If done well, strategic planning is not a static or occasional event, but rather a dynamic and inclusive process. Continuous strategic planning provides the foundation for the most important things an organization does each day, and fosters informed communication between the organization and those affected by or interested in the organization's activities.

We appreciate the fact that strategic plans, once issued, are living documents that require continual assessment. There is an understandable temptation to delay issuing a strategic plan at some point in the ongoing strategic planning process until the plan is considered perfect and all information has been collected, analyzed, and incorporated into the plan. However, failure to complete an initial strategic plan makes it difficult for decision makers to identify and assess NCR's first strategic goals, objectives, priorities, measures, and funding needs, and how resources can be leveraged across the region as events warrant. We continue to recommend that the Secretary of DHS work with the NCR jurisdictions to quickly complete a coordinated strategic plan to establish regional goals and priorities.

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That concludes my statement, Mr. Chairman. I would be pleased to respond to any questions you or other members of the Committee may have.

Contacts and Acknowledgments

For questions regarding this testimony, please contact William O. Jenkins, Jr. at (202) 512-8757, email jenkinswo@gao.gov. Sharon L. Caudle also made key contributions to this testimony.



FY 2003 URBAN AREA HOMELAND SECURITY STRATEGY

NATIONAL CAPITAL REGION

FY 2003 URBAN AREA HOMELAND SECURITY STRATEGY
NATIONAL CAPITAL REGION (NCR)

Introduction

On September 11, 2001 and again on October 4, 2001 the National Capital Region[1] (NCR) experienced, firsthand, terrorist attacks. Since that time much has been done to improve our security and better prepare the NCR for the continuing threats facing its communities and citizens. Significant efforts to prepare individual jurisdictions in the NCR to counter the terrorist threat existed prior to the tragic events in 2001. These efforts, while laudable, did not enjoy comprehensive and coordinated regional focus and resource support. Today there is better resourcing for local needs, improved regional coordination and an unparalleled commitment from all levels of officials. However, much work remains.

In recognition of the significant work that remains, particularly in large urban areas, the Congress and the Administration have dedicated substantial resources through the Urban Area Security Initiative (UASI) Grant Program to selected urban areas across the country including the NCR. The UASI Program's purpose is to provide direct financial assistance to urban areas to address their special needs. The Program's intent is to create a sustainable national model program whereby urban areas can share the lessons learned and best practices with other urban areas around the nation. This program also includes a jurisdictional assessment and a strategy development component.

Urban Area Homeland Security Strategy for the NCR

This document is the first Urban Area Security Strategy for the National Capital Region. The purpose of the *Strategy* is to identify a strategic direction for enhancing regional capability and capacity to prevent and reduce vulnerability of the NCR from terrorist attacks. This is an exceedingly complex mission that requires coordination, cooperation and focused effort from the entire region – citizens, local, state and federal government, as well as the private and non-profit sectors.

This *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 assessment included a comprehensive risk, capabilities, and needs assessments. The results of the assessment provide insight into the requirements of the region. The assessment included all of the region's twelve local governments incorporating data for ten primary disciplines with emergency response duties.

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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.*

In addition to the assessment three additional sources were instrumental in developing the Strategy. These sources include the *National Strategy for Homeland* Security, the *Eight Commitments to Action for the* NCR and the *State* Template published by the Homeland Security Council. Matrices validating the content of the strategy with these sources are provided in the sections that follow.

The *Strategy* focuses on four areas: planning, training, exercise and equipment. For each area specific goals, objectives, implementation steps and metrics are described. It is important to note that focus of the *Strategy* and the resources available through the UASI program is developing regional capability – capability that benefits across the NCR, not simply a particular jurisdiction.

Guided by this *Strategy*, the NCR will apply the resources available from the Department of Homeland Security (DHS) through the Office for Domestic Preparedness (ODP) to address unique planning, training, exercise and equipment needs to assist in building an enhanced and sustainable capacity to prevent, respond to, and recover from threats or acts of terrorism.

Strategic Objectives

This *Strategy* establishes three strategic objectives based on those established in the *National Strategy for Homeland Security:*

- Prevent terrorist attacks within the National Capital Region
- Reduce the National Capital Region's vulnerability to terrorism; and,
- Minimize the damage and recover from attacks that do occur.

Further supporting the regional foundation, this *Strategy* embraces the concept of a national incident management system that defines a common terminology for all parties, provides a unified command structure, standards and qualifications and is scalable to meet incidents of all size.

In August 2002 at the NCR Homeland Security Summit Maryland, Virginia, and the District of Columbia agreed upon *Eight Commitments to Action* as a framework to achieve the strategic objectives. The *Commitments to Action* focus on the following eight areas:

1. Terrorism Prevention
   - U.S. Attorneys for the judicial districts within the NCR will work with the FBI to enhance coordination and information sharing through their respective JTTFs and ATTFs.
2. Citizen Involvement in Preparedness
   - Utilize mechanisms for regional cooperation in endorsing and implementing Citizen Corps programs within the NCR.
3. Decision-Making and Coordination
   - Work in partnership to utilize a coordinated process for decision-making for significant incidents or emergency situations in the NCR.

4. Emergency Protective Measures
   - Work in partnership to define and develop a common set of emergency protective measures to protect the health and safety of the public in the event of a major emergency event in the NCR.
5. Infrastructure Protection
   - Work in partnership with the private sector to jointly identify and set protection priorities and guidelines for infrastructure assets and services in the NCR.
6. Media Relations and Communication
   - Work in partnership to develop a Joint Information System for the NCR during response to a major emergency or disaster event.
7. Mutual Aid
   - Utilize EMAC and pursue resolution of existing responsibility, reimbursement, and liability issues related to implementing mutual aid agreements in the NCR.
8. Training and Exercises
   - Work in partnership to coordinate plans for terrorism and security-related training and exercises across the NCR that are inclusive of all levels of government as well as schools and universities, health care institutions, and other private and non-profit partners as appropriate.

Additionally, this *Strategy* draws upon the guiding principles and other information in the *Statewide Template Initiative* developed by the President's Homeland Security Advisory Council in March 2003.

PLANNING

Goal

Ensure preparedness planning efforts across the NCR, including the public, business and nonprofit sectors, are fully coordinated and appropriately integrated so that preparedness activities are consistent, non-duplicative, efficient and effective.

Objective

Establish a coordinated preparedness planning mechanism for the NCR, including the public, business and nonprofit sectors, which clearly defines roles, relationships, processes and actions with deadlines.

Implementation Steps

1. Build upon efforts involving the *Eight Commitments to Action,* other existing working groups, agreements and objectives.

2. Engage the Urban Area Working Group[2] (UAWG) to provide a forum and convene, record and support the coordination of regional preparedness planning efforts across the spectrum of NCR homeland security activities. Specifically, draw together regional associations and

[2] The NCR Emergency Preparedness Council (EPC) serves as the UAWG for the NCR.

groups to synchronize existing efforts that address evacuation planning, bio-detection and epidemiological surveillance planning, and citizen preparedness planning within the NCR.

3. Develop and coordinate detailed operations plans that address a strategy for interoperable (operational) communications (data and voice) among all relevant response personnel in the NCR with appropriate protocols and rules of operations, regional emergency connectivity and other planning initiatives. Address impediments to coordinated decision making resulting from communications gaps among numerous legacy systems that exist within the NCR.

4. Engage the public non-profit community to identify and coordinate their roles in support of regional response and recovery efforts.

5. Lead and coordinate Critical Infrastructure Protection activities in the NCR.

6. Develop a self-assessment tool to assist the business and nonprofit sectors and entities in determining their vulnerability and readiness.

7. Implement a preparedness curriculum in NCR schools and coordinate and address the concerns of educators and caregivers of children who need additional methods to help children cope in uncertain times.

8. Implement a regional citizen education/awareness campaign.

9. Engage special needs populations to discuss and address preparedness, response and recovery issues faced by citizens with special needs.

Metrics

Chart the completion of Planning Implementation Steps to ensure that planning efforts are finalized and integrated into respective strategies. Key focus areas are:

- Interoperable Communications
- Quarantine/Isolation
- Hospital Surge Capacity
- Protective Actions (Evacuation and Shelter-in-Place)
- Mutual Aid

Planning Validation Matrix				
Implementation Step	NCR Assessment	Eight Commitments	National Strategy	State Template
1. Commitments to Action	Results from the July 2003 comprehensive risk, capabilities, and needs assessments give a clear picture of the requirements for the NCR. Identified needs in planning, training, equipment, and exercise are addressed by present and future efforts to satisfy the		NCR Commitments to Action are fully consistent with the strategic objectives and priorities of the National Strategy.	Guiding Principles in the State Template include: ▪ Maximize collective efforts to prevent terrorist attacks, reduce risks, and respond effectively to attacks that do occur.

Planning Validation Matrix				
Implementation Step	NCR Assessment	Eight Commitments	National Strategy	State Template
	Eight Commitments to Action			
2. Regional Planning Coordination	Results from the July 2003 comprehensive risk, capabilities, and needs assessments revealed the need to engage in additional planning efforts to address response capabilities such as terrorism incident response and isolation/quarantine.	**Decision-making and Coordination** dictates that NCR jurisdictions work in partnership to utilize a coordinated process for decision-making for significant incidents or emergency situations. This includes developing and implementing methods for coordination between operational entities as well as senior decision-makers in local, State and Federal governments as well as the private sector. **Emergency Protective Measures** dictates that NCR jurisdictions work in partnership to define and develop a common set of emergency protective measures to protect the health and safety of the public. Such measures are to include standardized emergency protection guides, protocols, and procedures.	National Strategy supports regional planning through the concepts of: Mutual Aid National Incident Management System	Guiding Principles in the State Template include: ▪ Maximize collective efforts to prevent terrorist attacks, reduce risks, and respond effectively to attacks that do occur. ▪ Assure the efforts are State based but locally focused and driven ▪ Empower state and local official homeland security efforts, leveraging existing emergency preparedness and response programs and capabilities
3. Operational Plans (Interoperable Communications, Connectivity, Etc.)	Results from the July 2003 comprehensive risk, capabilities, and needs assessments show that all NCR jurisdictions both receive and provide mutual aid, highlighting the need for enhanced planning coordination.	**Decision-making and Coordination** dictates that NCR jurisdictions work in partnership to utilize a coordinated process for decision-making for significant incidents or emergency situations. This includes developing and implementing methods for coordination between operational entities as well as senior decision-makers in local, State and Federal governments as well as the private sector. **Mutual Aid** directs NCR jurisdictions to pursue resolution of existing responsibility, reimbursement and liability issues related to implementing mutual aid agreements in the NCR.	National Strategy supports regional operational planning through the concepts of: ▪ Mutual Aid ▪ National Incident Management System ▪ Establishment of national communication protocols	Guiding Principles in the State Template include: ▪ Promote interoperable and reliable communications
4. Public Non-profit Engagement	The assessments were silent on this topic. However, with over 2,100 non-profit organizations in the NCR, each with a strong desire to make a positive impact on the response and recovery capabilities of the community, clearly better organization of regional engagements is to be desired.	**Decision-making and Coordination** dictates that NCR jurisdictions work in partnership to utilize a coordinated process for decision-making for significant incidents or emergency situations. This includes developing and implementing methods for coordination between operational entities as well as senior decision-makers in		Guiding Principles in the State Template include: ▪ Promote citizen participation in state, local, private sector and regional homeland security efforts through volunteer service activities, preparedness, education and awareness.

Planning Validation Matrix				
Implementation Step	NCR Assessment	Eight Commitments	National Strategy	State Template
		local, State and Federal governments as well as the private sector. **Infrastructure Protection** dictates that NCR jurisdictions work in partnership with the private sector to jointly identify and set protection priorities and guidelines for infrastructure assets and services.		
5. Critical Infrastructure Protection	According to the assessment data, NCR jurisdictions have requested assistance with identification, execution of vulnerability assessments, and training regarding the conduct of site-specific vulnerability assessments.	**Infrastructure Protection** dictates that NCR jurisdictions work in partnership with the private sector to jointly identify and set protection priorities and guidelines for infrastructure assets and services.	Protecting our Critical Infrastructure is a critical mission area identified in the National Strategy	Guiding Principles in the State Template include: ▪ Enable the government and private sector at all levels the ability to carry out its Homeland Security responsibilities
6. Self-assessment Tool	According to the assessment data, NCR jurisdictions have requested assistance with identification, execution of vulnerability assessments, and training regarding the conduct of site-specific vulnerability assessments.	**Infrastructure Protection** dictates that NCR jurisdictions work in partnership with the private sector to jointly identify and set protection priorities and guidelines for infrastructure assets and services.	The National Strategy identifies the following major initiatives in protecting our critical infrastructure: ▪ Build and maintain a complete and accurate assessment of critical infrastructure and key assets ▪ Enable effective partnership with state and local government and the private sector	Guiding Principles in the State Template include: ▪ Enable the government and private sector at all levels the ability to carry out its Homeland Security responsibilities
7. Preparedness Curriculum	The assessments were silent on this topic. However, there is a clear need to involve in citizens in prevention and preparedness efforts, which will allow first responders to perform essential duties.	**Citizen Involvement in Preparedness** directs NCR jurisdictions work in concert with volunteer and citizen organizations to empower individuals to take care of themselves, educate them about what emergency protective measures and raise awareness regarding ways to help. **Emergency Protective Measures** dictates that NCR jurisdictions work in partnership to define and develop a common set of emergency protective measures to protect the health and safety of the public.		Guiding Principles in the State Template include: ▪ Promote citizen participation in state, local, private sector and regional homeland security efforts through volunteer service activities, preparedness, education and awareness.
8. Citizen Preparedness Campaign	The assessments were silent on this topic. However, there is a clear need to involve in citizens in prevention and preparedness efforts, which will allow first responders to perform essential duties.	**Citizen Involvement in Preparedness** directs NCR jurisdictions work in concert with volunteer and citizen organizations to empower individuals to take care of themselves, educate them about what emergency protective measures and raise awareness regarding ways to help. **Emergency Protective Measures** dictates that NCR jurisdictions work in	Information sharing is one of the four foundations of Homeland Security identified in the National Strategy.	Guiding Principles in the State Template include: ▪ Promote citizen participation in state, local, private sector and regional homeland security efforts through volunteer service activities, preparedness, education and awareness.

Planning Validation Matrix				
Implementation Step	NCR Assessment	Eight Commitments	National Strategy	State Template
		partnership to define and develop a common set of emergency protective measures to protect the health and safety of the public.		
9. Addressing Special Needs	The assessments were silent on this topic. However, there is a clear need to involve special needs communities in preparedness efforts, which will allow first responders to perform essential duties.	**Citizen Involvement in Preparedness** directs NCR jurisdictions work in concert with volunteer and citizen organizations to empower individuals to take care of themselves, educate them about what emergency protective measures and raise awareness regarding ways to help. **Emergency Protective Measures** dictates that NCR jurisdictions work in partnership to define and develop a common set of emergency protective measures to protect the health and safety of the public.		Guiding Principles in the State Template include: Promote citizen participation in state, local, private sector and regional homeland security efforts through volunteer service activities, preparedness, education and awareness.

TRAINING

Goal

Provide coordinated, consistent, standardized training to meet regional homeland security training requirements for responders, government officials, schools and the public.

Objective

Coordinate and track the training requirements and delivery of terrorism and security related training that are inclusive of all levels of government, as well as schools and universities, health care institutions, and other private and non-profit partners.

Implementation Steps

1. Develop a training strategy and coordinate the actions of all training academies and institutions in the NCR, track course delivery and monitor responder training requirements.
    a. Work with regional training academies and institutions to conduct basic training in various specialties.
    b. Develop pathways for progress for select first responder specialties that encourage certification and other recognition programs.
    c. Maintain consistency with State agency training strategy, guidance and direction.
2. Develop and institutionalize a dialogue between regional public information officers (PIOs) and the region's media professionals on how best to respond to and communicate with the

region's citizens during emergencies, including the steps needed to maintain public communications facilities and capabilities in the face of new and challenging threats.

Metrics

Chart the completion of Training Implementation Steps to ensure that training/education strategies are finalized and implemented. Key focus areas are:

- NCR Public Safety Community
- NCR Citizens
- Select Professional Groups

Training Validation Matrix

Implementation Step	Assessment	Eight Commitments	National HS Strategy	State Template
1 Training Strategy	NCR jurisdictions identified the need to focus on determining training needs, identifying training resources and evaluating locally developed training courses. The assessment data indicates that emergency responders require training at all response levels. The majority of training is needed at the awareness and performance-defensive levels.	**Training and Exercises** directs NCR jurisdictions to work in partnership to coordinate plans for terrorism and security related training and exercises across the NCR that are inclusive of all levels of government, as well as schools and universities, health care institutions, and other private and non-profit partners as appropriate. This includes training and exercise program development, implementation and maintenance including regional agreement to standards and implementation of corrective actions.	The National Strategy calls for the development of national training system.	Guiding Principles in the State Template include: ▪ Promote integrated and collective training, exercises and evaluation.
2. PIO & Media Training	The assessments were silent on this topic. However, clear, consistent and authoritative communication is essential during any event.	**Media Relations and Communication** dictates that NCR jurisdictions work in partnership to develop a communications process for the NCR during response to a major emergency or disaster to achieve the goal of a coordinated voice for the public and media. In addition, the Commitment identifies the need to educate the media to enable effective risk communication and emergency protective measure instruction. **Emergency Protective Measures** dictates that NCR jurisdictions work in partnership to define and develop a common set of emergency protective measures to protect the health and safety of the public.		Guiding Principles in the State Template include: 3. Promote citizen participation in state, local, private sector and regional homeland security efforts through volunteer service activities, preparedness, education and awareness.

EXERCISE

Goals

Regularly exercise NCR response capability to ensure continued improvement through a rigorous corrective action program, measure current capability and provide realistic training to area responders, government officials, business and nonprofit sectors and the public.

Objective

Establish a comprehensive program to include a calendar for terrorism and security-related exercises across the NCR that is inclusive of all levels of government, as well as schools and universities, health care institutions, and other private and nonprofit partners as appropriate.

Implementation Steps

1. Develop and conduct, with maximum local input and participation, annual full-scale exercises to test readiness, response, coordination and mutual assistance capabilities.

2. Develop a methodology to document and implement lessons learned from actual emergency events and exercises, and reflecting national training and exercise standards and strategy requirements to the extent possible. Develop methodologies to communicate and implement corrective actions.

3. Support various regional exercises by jurisdiction or discipline as appropriate and as highlighted by the Assessment.

Metrics

Chart the completion of Exercise Implementation Steps to ensure that exercise development and implementation strategies are finalized and implemented. Key focus areas are:

- NCR Exercise Calendar
- Engagement of all Jurisdictions and Sectors
- Completion of 61 Exercises

Exercise Validation Matrix				
Implementation Step	Assessment	Eight Commitments	National HS Strategy	State Template
1 Exercise Conduct	Assessment data indicate that NCR jurisdictions require assistance to plan, execute and evaluate tabletop, functional and full-scale exercises. All required exercises include at least one CBRNE hazard type.	**Training and Exercises** directs NCR jurisdictions to work in partnership to coordinate plans for terrorism and security related training and exercises across the NCR that are inclusive of all levels of government, as well as schools and universities, health care institutions, and other private and non-profit partners as appropriate. This includes training and exercise	The National Strategy support the development of a national exercise program designed to educate and evaluate civilian response personnel at al levels of government.	

Exercise Validation Matrix				
Implementation Step	Assessment	Eight Commitments	National HS Strategy	State Template
		program development, implementation and maintenance including regional agreement to standards and implementation of corrective actions.		
2. Corrective Action Planning		**Training and Exercises** directs NCR jurisdictions to work in partnership to coordinate plans for terrorism and security related training and exercises across the NCR that are inclusive of all levels of government, as well as schools and universities, health care institutions, and other private and non-profit partners as appropriate. This includes training and exercise program development, implementation and maintenance including regional agreement to standards and implementation of corrective actions.	The National Strategy calls for a rigorous learning and corrective action plan component in the national exercise program.	
3. Exercise Support	Assessment data indicate that NCR jurisdictions require assistance to plan, execute and evaluate tabletop, functional and full-scale exercises. All required exercises include at least on CBRNE hazard type.	**Training and Exercises** directs NCR jurisdictions to work in partnership to coordinate plans for terrorism and security related training and exercises across the NCR that are inclusive of all levels of government, as well as schools and universities, health care institutions, and other private and non-profit partners as appropriate. This includes training and exercise program development, implementation and maintenance including regional agreement to standards and implementation of corrective actions.	The National Strategy support the development of a national exercise program designed to educate and evaluate civilian response personnel at al levels of government.	

EQUIPMENT

Goal

Capitalizing on the regional nature of the grant, acquire, allocate, standardize and manage equipment and systems to enhance preparedness, response and recovery efforts of responders in the NCR. Ensure that the public safety community is properly equipped to perform during incidents resulting from terrorism or use of weapons of mass destruction (WMD).

Objective

Develop a regional equipment program that augments NCR jurisdiction equipment programs so that area responders have necessary equipment to protect the region and themselves.

Implementation Steps

1. Provide a regional equipment quartermaster capability that allows jurisdictions within the NCR to augment their current equipment to ensure that personal protective equipment is available to all NCR public safety personnel enabling them to face new challenges.

2. Purchase necessary hardware to establish an immediate baseline voice and data communication capability that covers the entire NCR public safety community. Planning and protocols for uses of systems are addressed in the Planning Implementation Steps.

3. Provide equipment to ensure maximum notification and communication with the public in times of emergency. Planning and protocols for uses of systems are addressed in the Planning Implementation Steps.

4. Provide equipment to support hospital surge capacity in the NCR. Ensure that this effort is integrated and supportive of initiatives coming out of the United States Department of Health and Human Services.

5. Provide aircraft tracking devices to permit emergency vehicles to operate during times of emergency when air space restrictions apply.

Metrics

Chart the completion of Equipment Implementation Steps to ensure that resource acquisition, allocation and management strategies are finalized and implemented. Key focus areas are:

- Efficiency and Effectiveness of a Quartermaster Equipment Management System
- Intra-regional Communications: voice and data
- Effective Notification: tests and surveys to tract effectiveness of communication by percentage of population
- Elimination of TFR Violations by Emergency Aircraft

Equipment Validation Matrix

Implementation Step	Assessment	Eight Commitments	National HS Strategy	State Template
1. Regional Equipment Quartermaster	Assessment findings show that NCR emergency responders in all disciplines require equipment. Data collected stresses the importance of adequate equipment levels and appropriate equipment maintenance.	**Decision-making and Coordination** dictates that NCR jurisdictions work in partnership to utilize a coordinated process for decision-making for significant incidents or emergency situations. This includes developing and implementing methods for coordination between operational entities as well as senior decision-makers in local, State and Federal governments as well as the private sector.	The National Strategy calls for substantial support for our first responder to ensure they are equipped to respond to all terrorist threats and attacks.	Guiding Principles in the State Template include: 4. Maximize collective efforts to prevent terrorist attacks, reduce risks, and respond effectively to attacks that do occur
2. Interoperable Communications Equipment	Assessment findings show that NCR emergency responders in all disciplines require equipment.	**Terrorism Prevention** directs the coordination information sharing among regional law enforcement and	The National Strategy calls for seamless communication among all responders.	Guiding Principles in the State Template include: 5. Promote interoperable and reliable

Equipment Validation Matrix				
Implementation Step	Assessment	Eight Commitments	National HS Strategy	State Template
		other public safety agencies **Decision-making and Coordination** dictates that NCR jurisdictions work in partnership to utilize a coordinated process for decision-making for significant incidents or emergency situations. This includes developing and implementing methods for coordination between operational entities as well as senior decision-makers in local, State and Federal governments as well as the private sector.		communications
3. Community Alert Equipment	Assessment findings show that NCR emergency responders in all disciplines require equipment.	**Citizen Involvement in Preparedness** directs NCR jurisdictions work in concert with volunteer and citizen organizations to empower individuals to take care of themselves, educate them about what emergency protective measures and raise awareness regarding ways to help. **Emergency Protective Measures** dictates that NCR jurisdictions work in partnership to define and develop a common set of emergency protective measures to protect the health and safety of the public.	The National Strategy identifies the following information sharing and systems priorities: ▪ Integrate information sharing across state and local governments, private industry and citizens ▪ Improve public safety communication	Guiding Principles in the State Template include: ▪ Enable the government and private sector at all levels the ability to carry out its Homeland Security responsibilities
4. Hospital Surge Capacity	Assessment findings show that NCR emergency responders in all disciplines require equipment. The health care discipline requires the most equipment of all disciplines.	**Emergency Protective Measures** dictates that NCR jurisdictions work in partnership to define and develop a common set of emergency protective measures to protect the health and safety of the public.	The National Strategy calls for: ▪ Preparing our health care providers for catastrophic terrorism ▪ Augmenting America's pharmaceutical and vaccine stockpiles	Guiding Principles in the State Template include: ▪ Maximize collective efforts to prevent terrorist attacks, reduce risks, and respond effectively to attacks that do occur ▪ Enable the government and private sector at all levels the ability to carry out its Homeland Security responsibilities
5. Aircraft Tracking Devices	The assessments are silent on this topic.	**Terrorism Prevention** directs the coordination information sharing among regional law enforcement and other public safety agencies.		Guiding Principles in the State Template include: ▪ Maximize collective efforts to prevent terrorist attacks, reduce risks, and respond effectively to attacks that do occur

Questions For the Record
Senate Homeland Security & Governmental Affairs
Government Management, Federal Workforce, and the District of Columbia Subcommittee
"The War on Terrorism: How Prepared is the Nation's Capital?"
March 29, 2006
National Capital Region Director Thomas Lockwood

Questions from Senator Voinovich

1. Mr. Lockwood, will the strategic plan address what entities will be responsible for implementing the strategic plan, what their roles will be compared to others, and the mechanisms for coordinating their efforts and assessing success?

Response: The strategic plan will address the entities responsible for implementing the strategic plan. With regard to "Organizational Roles, Responsibilities, and Coordination," the National Capital Region (NCR) is following the Government Accountability Office's guidance in the 2004 report *Combating Terrorism - Evaluation of Selected Characteristics in National Strategies Related to Terrorism.* The report will include performance measures. As emphasized during congressional testimony, this is not the Federal government's or DHS' strategic plan for the National Capital Region, rather it is the region's strategic plan that was developed with the involvement of the twelve local jurisdictions in the NCR, Maryland, Virginia and the District of Columbia, private and nonprofit stakeholders, and Federal executive, legislative, and judicial representatives.

2. Mr. Lockwood, do you have the resources, people, and authority you need to effectively fulfill the responsibilities of the Office of the National Capital Region Coordination?

Response: Current requirements outpace the Fiscal Year (FY) 2006 appropriation for the Office of National Capital Region Coordination (ONCRC), which includes 4 Full Time Equivalents and 5 Full Time Permanent positions and $883,000 (including $700,000 for salary) after the government-wide rescission of one percent. Some adjustments are included in the FY 2007 budget request, which asks for the addition of two Senior Coordinator positions (each half year funded) in light of ONCRC's coordination and liaison role.

3. Mr. Lockwood, as I mentioned in my opening statement, Hurricane Katrina taught us the importance of a clear chain of command in the event of a catastrophe. In the event of a natural catastrophe or major terrorist attack in the District or other regions in the NCR, is there any single official in charge who would have command authority over all of the resources in the region at the federal, state and local level? If not, should there be? Why not?

Response: In the event of a natural catastrophe or major terrorist attack in the District or other region in the NCR, there is not a single official in charge who would have command authority over all of the resources in the region at the Federal, State and local level. Separation of powers implications include those within the Federal government (executive, legislative, judicial), between Federal and State governments, and separate constitutions between a State (Maryland) and a Commonwealth (Virginia) and their respective county and municipal governments.

Our national response framework, the National Response Plan (NRP) and the National Incident Management System is based on recognition and respect for the authority of local jurisdiction(s) in which a natural catastrophe or major terrorist attacks might occur. Those jurisdictions have

the responsibility for first response. The NRP and National Incident Management System (NIMS) are companion documents designed to improve the Nation's incident management capabilities and overall coordination. Together, the NRP and the NIMS integrate the capabilities and resources of various governmental jurisdictions, incident management and emergency response disciplines, non-governmental organizations, and the private sector into a cohesive, coordinated, and seamless national framework for domestic incident management.

The NRP is built upon the premise that incidents are typically handled at the lowest jurisdictional level. The NRP facilitates coordination among tribal, local, State, and Federal governments and the private sector without impinging on any group's jurisdiction or restricting the ability of those entities to do their job. In situations where there is more than one agency with incident jurisdiction or when incidents cross political jurisdictions, something which is inherent in the National Capital Region, the NRP and NIMS applies the unified command structure, the NIMS/Incident Command System (ICS) to coordinate and facilitate response efforts.

If the resources and capabilities of a jurisdiction are overwhelmed, additional resources and capabilities are provided by neighboring jurisdictions and/or the State and eventually the Federal government. To implement a coordinated Federal response under the NRP, the President may request that the Secretary of DHS (or his/her designee) identify a Principal Federal Official, who is charged with leadership responsibility for coordinating Federal efforts to support State and local government.

4. Mr. Lockwood, first responders prepare for and respond to all-hazards. Because of this very large mission assignment, it is clear that we must ensure that first responders have the equipment, training and funding that they need to get the job done. Could you please speak to the importance of the Emergency Management Performance Grant (EMPG) program?

Response: The Emergency Management Performance Grant (EMPG) program provides funding the emergency management community. Though EMPG primarily funds State and local emergency management personnel, it may also support planning, equipment, training, and exercise support, State and local emergency managers have the flexibility to support their emergency management mission areas and structure individual emergency management programs based on their identified needs and priorities for strengthening their capabilities. The Department is working with EMPG grantees to ensure that this program addresses national preparedness priorities outlined in the interim National Preparedness Goal and the Target Capabilities List.

The Department recognizes the crucial role of the emergency management community in the prevention, protection, response, and recovery efforts necessary when disasters or other incidents of national significance occur, including the major disasters in 2005, at the State and local level, and when Federal assistance is needed.

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Questions from Senator Akaka

1. You testified repeatedly that the National Capital Region (NCR) is working on an *update* to the National Capital Region Homeland Security (NCR-HLS) Strategic Plan. I understand that many separate planning documents exist, but I am not aware of a comprehensive document titled *NCR-HLS Strategic Plan.*

a. For the record, can you please clarify whether a document titled *NCR-HLS Strategic Plan* or *Draft NCR-HLS Strategic Plan* currently exists?

Response: As noted in testimony, current efforts entitled, *2005 Update to the National Capital Region Homeland Security Strategic Plan*, represent an update to the strategic plan provided to the Department of Homeland Security per the Urban Areas Security Initiative (UASI) grant guidance and requirements in August 2003.

The *Update* is a top level summary of the strategic planning efforts and serves to integrate several planning efforts and products. The partners in the National Capital Region (NCR) are working with the Government Accountability Office's guidance and input for the development of its comprehensive plan. As emphasized during congressional testimony, this is not the Federal government's or DHS' strategic plan for the NCR. Rather, the plan is the region's plan, developed with the involvement of diverse public and private stakeholders within the NCR.

b. If so, can you please provide a copy of this document to the Subcommittee?

Response: A copy of the document is being forwarded with these responses.

2. You testified that the *Final NCR-HLS Strategic Plan* will be completed by August 2006. Please provide the Subcommittee with a detailed timeline of how this will be accomplished, including specific milestones which will be reported to the Subcommittee.

Response: Regional homeland security leaders have developed a workplan, with DHS participation, to complete the *NCR-HLS Strategic Plan* by August 2006. Key milestones for completing this plan are below. As the region's plan, completion of the below items is dependent upon regional leadership continuing to prioritize and support the planning process with key personnel and resources, as well as agreeing on the final product.

- End of May 2006 – Completion of first coordinating draft of the full narrative version of the *NCR-HLS Strategic Plan*, incorporating Government Accountability Office recommendations to the greatest extent possible;
- Early to mid June – Review and comment period;
- End of June 2006 – Completion of adjudication and initial review of the first coordinating draft of the *NCR-HLS Strategic Plan*;
- Second Week of July 2006 – Completion of the second coordinating draft of *NCR-HLS Strategic Plan*;

- Third Week of July 2006 – Conduct Plenary Session to review/discuss second coordinating draft of the *NCR-HLS Strategic Plan* with key homeland security stakeholders throughout the National Capital Region; and
- End of July 2006 – Completion of final narrative version of the *NCR-HLS Strategic Plan*, with individual initiatives' specific costs and detailed performance measures completed to the greatest extent possible.

3. Has the National Capital Region contracted with Booz Allen Hamilton to complete the National Capital Region Homeland Security Strategic Plan? If so, (1) when was Booz Allen Hamilton retained, (2) how much is the contract worth, and (3) is the contract paid with Federal, state, or local funding?

Response: As of April 27, 2006, Booz Allen Hamilton is not on contract to complete the *NCR-HLS Strategic Plan*. However, Booz Allen Hamilton is supporting implementation activities through a District of Columbia (DC) contract using Urban Areas Security Initiative (UASI) funds with a current period of performance from December 22, 2005, to December 21, 2006.

A brief history of Booz Allen Hamilton's support related to the National Capital Region (NCR) Strategic Planning Process follows:

- Mid March – Mid May 2005 – The Office for National Capital Region Coordination (ONCRC) of the Department of Homeland Security, using Booz Allen Hamilton staff under contract to ONCRC, provided support to the NCR to produce the initial framing of the NCR strategic planning process (approx. $30K effort);
- May – August 15, 2005 – The District of Columbia Government contracted Booz Allen Hamilton, using UASI funds, through a fixed firm price contract, to continue support of the NCR strategic planning process (approx. $96K effort);
- August 15 – November 30, 2005 – The DHS Integration Staff and the Office of Infrastructure Protection, at the request of the ONCRC, provided support to the NCR using Booz Allen Hamilton staff to support the strategic planning process through the November 2006 plenary session (approx. $45K effort); and
- December 22, 2005 – December 21, 2006 – The DC Government contracted Booz Allen Hamilton to support the *implementation* of NCR strategic plan related activities. Note that the original period of performance is through December 2006; however the contract is currently being modified to move up the timeframe for funded activities related to the strategic plan. (approx. $486K effort)

4. The President requested a $1.1 million increase for the Office of National Capital Region Coordinator in FY 07. This represents over a 100 percent increase. Will you please describe exactly how these funds will be used?

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Response: Fiscal Year (FY) 2007 Request: Office for National Capital Region Coordination (ONCRC)

FY 2007 ONCRC Request:	$1,991,000
Salary Requirement:	$918,887
Estimated WCF Contribution:	$184,000
Contractor Support:	$888,113

Requested Positions

- Two new positions, both half-year funded, bringing total ONCRC Full Time Equivalents to six and Full Time Permaments to seven.
  - Senior Coordinator #1
    - Coordinate Public Safety and Security (Regional Emergency Support Function (R-ESF)-13), a major R-ESF with over 40 Federal, State, local, and regional police departments, and numerous stakeholders, in addition to selected coordination with other R-ESFs;
    - Support review and integration of information sharing processes, practices, and technologies to the R-ESF-13 community;
    - Begin coordination of Federal protective measures (groundwork laid in FY 2006);
    - Coordinate major drills and events, planned and unplanned (2 dozen/year); and
    - Ensure lessons learned are documented and considered with planning and policy efforts.
  - Senior Coordinator #2
    - Coordinate technology and science related matters, e.g., interoperability initiatives in the National Capital Region;
    - Support coordination of pandemic flu preparation;
    - Support integration of protocols and processes across the multiple, major Chemical, Biological, Radiological, Nuclear, and Explosive installed systems within the NCR;
    - Coordinate with other Federal agencies and facilitate their efforts to implement "after actions," including enhancements noted from March 2005 anthrax scare;
    - Coordinate roll-out and implementation of national policy on pandemic flu (DHS' Chief Medical Officer and the Department of Health and Human Services developed national policy, ONCRC will implement with regional partners); and
    - Coordinate selected major drills and events, planned and unplanned.
- Both positions would assist the ONCRC Director in fulfilling other major aspects of ONCRC's mission[1]

[1] NCRC's mission under the Homeland Security Act of 2002 (Sec. 882) is to "oversee and coordinate Federal programs for and relationships with State, local, and regional authorities in the National Capital Region." Specifically, NCRC "shall —
(1) coordinate the activities of the Department relating to the National Capital Region . . .
(2) assess, and advocate for, the resources needed by State, local, and regional authorities . . .
(3) provide State, local and regional authorities . . . with regular information, research, and technical support . . .

5. The Coast Guard will assume responsibilities for the National Capital Region Air Defense later this year and will provide helicopters and ground support to the NCR for this vital mission. As you know, Customs and Border Protection (CBP) used to have this responsibility.

a. As Director of the ONCRC, were you consulted during the debate on shifting these responsibilities from CBP to the Coast Guard?

Response: Yes. As Director of the Office of National Capital Region Coordination, I attended several meetings in which the transfer of the responsibilities of the National Capital Region Air Defense from Customs and Border Protection (CBP) to Coast Guard was discussed. These meetings were also attended by the Secretary and Deputy Secretary, the Commandant of the Coast Guard, and the Commissioner of CBP.

b. DHS requested $62 million in FY 07 to fund the Coast Guard's new Air Defense mission. My understanding is that most of this funding will go towards buying new helicopters. What, if any, additional capabilities will be achieved with the $62 million?

Response: The DHS FY07 request to support the Coast Guard's National Capital Region Air Defense (NCRAD) mission consists of $48.5M AC&I and $13.9 OE funding. The largest portion of AC&I funds will be used to purchase and mission-ize 5 HH-65 helicopters to Coast Guard standards. The remainder of the AC&I funding will be used for the following:

- Ground Support Equipment (GSE) for NCR assets based at Air Station Atlantic City
- Specialized helicopter equipment to support NCRAD mission
- The facility expansion at Air Station Atlantic City to support additional personnel and helicopters

OE funds will be used for the following:

- Flight Hours for the 5 HH-65 helicopters
- Personnel Costs for the 120 additional personnel required to support the NCRAD mission
- Pilot and Aircrew Training
- Personal Protective Equipment (PPE)

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(4) develop a process for receiving meaningful input from State, local, regional authorities and the private sector . . .
(5) coordinate with Federal agencies . . . to ensure adequate planning information sharing, training, and execution of the Federal role in domestic preparedness activities;
(6) coordinate with Federal, State, local and, regional agencies, and the private sector . . . to ensure adequate planning, information sharing, training, and execution of domestic preparedness activities . . .
(7) serve as a liaison between the Federal Government and State, local, and regional authorities, and private sector entities in the National Capital Region to facilitate access to Federal grants and other programs"
Additionally, NCRC shall "submit an annual report to Congress" on the status of homeland security efforts.

- Office Equipment to outfit additional work spaces at Air Station Atlantic City
- Travel Costs
- Hangar Lease and Utilities at Washington National Airport
- Crew Berthing in the Washington, DC area

The primary capability gained by moving this mission to Coast Guard from CBP is seamless unity of command with NORAD. Under Title 10 and Title 14 authorities the Coast Guard is both a military and law enforcement organization. CBP as a civilian law enforcement agency is not able to take direction from NORAD. The Coast Guard, on the other hand, can operate under the direction or NORAD.

6. Please name any NCR security exercises that occurred over the past two years involving federal, state, and local agencies.

Response: Currently, this office, in conjunction with the Metropolitan Washington Council of Governments and the Exercise Training Oversight Panel, is working to compile a complete list of all exercises coordinated among Federal, State, and local agencies in the National Capital Region (NCR). In the past two years, however, Federal, State, and local agencies have collaborated on a wide variety of after-action working groups and exercises following incidents in the NCR, including:

- The 2001 Capitol Hill anthrax incident;
- Charles County, Maryland tornado – April 28, 2002;
- Hurricane Isabel – September 2003;
- Gallant Fox Exercises in 2003, 2004, and 2005;
- Funeral of President Reagan – 2004;
- The May 11th, 2004 overflight of the Capitol;
- Dedication of WWII Memorial – 2004;
- June 17th, 2004 NCR Senior Leaders Seminar;
- September 27th, 2004 Command Post Exercise;
- TOPOFF 4 CPX and Forward Challenge – January 19-22, 2006;
- Winter Fox Exercise – February 23, 2006; and
- Ardent Sentry Exercise – May, 2006.

Most recently, the Office of National Capital Region Coordination (NCRC) participated in the DHS Preparedness Directorate's TOPOFF 4 Command Post Exercise (June 19-22, 2006). This functional exercise simulated prevention and protective actions in response to a nuclear threat in the NCR, and allowed NCRC to exercise the operational and coordination challenges of such a scenario, such as information sharing and the coordination of evacuation orders with State and local governments.

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7. Before the Second Stage Review, the Office of National Capital Region Coordination (ONCRC) reported directly to the Secretary. Now the ONCRC is under the Preparedness Directorate and you report to Undersecretary Foresman. Has this added layer of bureaucracy hindered your ability to coordinate federal programs for the NCR?

Response: The Department of Homeland Security and the Preparedness Directorate recognize the critical importance of the Office for National Capital Region Coordination (ONCRC). The purpose of moving ONCRC to Preparedness Directorate was not to diminish its role, but rather to enhance its ability to act on and influence many of the functions that will directly protect the National Capital Region (NCR) and the Capital of our nation. The Department's recently published the Nationwide Plan Review, which ONCRC and NCR regional leaders shaped, and current Preparedness Directorate-ONCRC efforts to boost interoperability and information sharing among Federal, State, local, regional and private sector partners are just a few examples. The move to the Preparedness Directorate embeds ONCRC within the national effort to enhance domestic preparedness, leveraging Federal preparedness programs for the NCR, and to advocate for the needs of our regional homeland security partners.

8. Mr. Reiskin, Mr. Crouch, and Mr. Schrader testified that "There is no single person, office, level or branch of government vested with the ability to direct the full range of preparedness activities across all others in the region." As Director of the ONCRC, why isn't this your responsibility?

Response: Per the Homeland Security Act of 2002, the mission and function of the Office for National Capital Region Coordination (ONCRC) is to coordinate and be a liaison with and among Federal, State, local, private sector and non-profit entities within the National Capital Region (NCR). The Homeland Security Act of 2002 does not provide the ONCRC the authority to direct any jurisdiction, organization or entity within DHS, the Federal government, or the NCR.

Additionally, the NCR uniquely hosts large numbers of Federal first responders and response support personnel, who fall within the purview of each Federal agency's statutory authorities and respective chains-of-command, further complicating coordination within and across practitioner communities. These separation of powers implications include those within the Federal government (executive, legislative, judicial), between Federal and State governments, and separate constitutions between a State (Maryland) and a Commonwealth (Virginia) and their respective county and municipal governments.

And as noted in the answer to question three above, our national response framework, the NRP and the NIMS is based on recognition and respect for the local jurisdictions. The NRP and the NIMS integrate the capabilities and resources of various governmental jurisdictions and facilitates incident management and emergency response capabilities into a coordinated framework for incident management. When there is more than one agency with incident jurisdiction or when incidents cross political jurisdictions, the NIMS leverages a unified

command structure through the NIMS/Incident Command System (ICS) to coordinate and facilitate response efforts.

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





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

Readiness in the National Capital Region

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

May 5, 2006

Room 442
Hart Senate Office Building
Washington, DC 20510

Questions for the Record of the National Capital Region
Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia
Readiness in the National Capital Region
May 5, 2006

Questions from Senator Voinovich

1. Mr. Schrader and Mr. Crouch, to what extent does your individual state homeland security strategic plan address the current NCR strategic goals and objectives? Is there a clear link between the two?

Maryland's Strategy for Homeland Security and Virginia's Office of Commonwealth Preparedness' (OCP) Strategic Plan do address and are coordinated with the National Capital Region (NCR) strategic. One of Maryland's Emergency Preparedness and Response Goals is, "Facilitate National Capital and Baltimore Metropolitan Region Area Security Initiatives to develop partnerships and rapidly pursue regional partnerships throughout the state." Both Maryland and the NCR focus on DHS' National Response Plan for prioritizing target capabilities. Maryland chose 11 priority target capabilities for the FY06 grant application to DHS. Of those 11, 10 target capabilities overlapped with the NCR's priority capabilities.

The NCR strategic goals and objectives were considered while the OCP Strategic Plan was being developed. Virginia jurisdictions that are part of the NCR were part of the NCR Strategic Plan and OCP Strategic Plan development process and will be active participants in the implementation processes. State Virginia representatives were present at NCR strategic planning meetings for the purpose of coordinating issues between Virginia and the NCR. Also, Virginia has included the NCR strategic plan as an appendix to the OCP Strategic Plan.

2. Mr. Schrader and Mr. Crouch, to what extent does your individual states consider NCR goals, objectives, and capabilities when prioritizing spending and preparedness in Maryland and Virginia?

Please refer to the above response. Also, to assist in the prioritization of spending within Maryland and Virginia, Regional Programmatic Working Groups (RPWGs) have been developed. The RPWGs are outcome-driven, accountable working groups that develop and oversee programs and the associated projects within the NCR. Each RPWG is made up of state representatives, local representatives, and in some cases, representatives from the private sector. The state and local representatives of the RPWGs are the same individuals who are responsible for driving these programs in their respective states. The intent of the RPWGs is to build, sustain, and share capabilities among the states and the jurisdictions that comprise the NCR and develop performance measures to allow the State of Maryland, the Commonwealth of Virginia, and the District of Columbia to gauge preparedness within the National Capital Region. The RPWG strengthens our ability to plan, prioritize, and execute programs while taking advantage of pre-existing capabilities and programs within the States and localities. This has equated to increased cost efficiency across all projects by allowing us to leverage and complement grant programs.
Additionally, the Senior Policy Group (SPG) members from Maryland and Virginia are decision-makers in Homeland Security and Emergency Management, which allows for the seamless

integration of State and NCR goals, objectives, and priorities while allowing NCR initiatives to bring innovations to the other areas of the two States.

3. Mr. Schrader and Mr. Crouch, do you believe it is necessary to coordinate non-Urban Area Security Initiative grants within the NCR? If yes, how do you plan to track and coordinate these funds? Do you believe they should be included in the website hosted by the District's Office of Homeland Security?

We, as members of the SPG, believe it is necessary and have the responsibility of monitoring the homeland security grant funding for each of our individual States and Urban Areas within our individual states on a day-to-day basis. The decisions are based on what is being accomplished with the multitude of grant funds ranging from CDC funding for the bioterrorism, other Federal funding sources, as well as the more than $500 million annually that the state and local jurisdictions contribute to a variety of preparedness activities, such as law enforcement, fire, or emergency medical services.

To further enhance our coordination and visibility among funding streams, the grant offices supporting the State Administrative Agents from the District, Maryland, and Virginia have begun to collaborate regarding the numerous projects associated with the different funding streams. The NCR has also developed a secure web portal that serves as an information management tool for accessing and sharing regionally-relevant data, to include comprehensive information on the availability and spending of homeland security grant funds in the NCR, and regional priorities for determining future spending of those funds. Having the information readily available for our NCR partners to review has allowed us an increased level of visibility and transparency.

The Office of Homeland Security within the District, which acts as the NCR Grants and Program Management Office, was created to serve the region's needs. This office is the reliable source of information on the amount of first responder federal grant funds available to each NCR jurisdiction, budget plans, and criteria used to determine spending priorities and actual expenditures. Maryland, Virginia, and the District have given a detailed summary of all grant-funded State programs to be posted on the OHS website. However, we do not think it is appropriate to post the accounting and transactional details of each State grant on the NCR website. However, the State Administrative Agents communicate about funding and spending of UASI and SHSGP grant money on a regular basis.

Questions from Senator Akaka

1. Mr. Lockwood testified repeatedly that the National Capital Region (NCR) is working on an *update* to the National Capital Region Homeland Security (NCR-HLS) Strategic Plan. I understand that many separate planning documents exist, but I am not aware of a comprehensive document titled *NCR-HLS Strategic Plan*.

a. For the record, can you please clarify whether a document titled *NCR-HLS Strategic Plan* or *Draft NCR-HLS Strategic Plan* currently exists?

The response to this question is in coordination with the response developed by Mr. Lockwood in the Office of National Capital Region Coordination.

As noted in testimony, current efforts entitled, *"2005 Update to the National Capital Region Homeland Security Strategic Plan"*, represent an update to the strategic plan provided to the Department of Homeland Security per the Urban Area Security Initiative (UASI) grant guidance and requirements in August 2003.

The *Update* is a top level summary of the strategic planning efforts and serves to integrate several planning efforts and products. As noted in Q03521, the partners in the NCR are working with GAO's guidance and input for the development of its comprehensive plan. As emphasized during congressional testimony, this is not the federal government or DHS strategic plan for the NCR. Rather, the plan is the region's plan, developed with the involvement of diverse public and private stakeholders within the NCR.

b. If so, can you please provide a copy of this document to the Subcommittee?

The document is attached.

2. You testified that the *Final NCR-HLS Strategic Plan* will be completed by August 2006. Please provide the Subcommittee with a detailed timeline of how this will be accomplished, including specific milestones which will be reported to the Subcommittee.

The response to this question is in coordination with the response developed by Mr. Lockwood in the Office of National Capital Region Coordination.

Regional homeland security leaders have developed a workplan, with DHS participation, to complete the *NCR-HLS Strategic Plan* by August 2006. Key milestones for completing this plan are below. As the region's plan, completion of the below items is dependent upon regional leadership continuing to prioritize and support the planning process with key personnel and resources, as well as agreeing on the final product. DHS ONCRC's continued facilitation of the NCR regional strategic planning process pends the provision of adequate funding.

- End of May 2006 – Completion of first coordinating draft of the full narrative version of the *NCR-HLS Strategic Plan* incorporating GAO recommendations to the greatest extent possible
- Early to mid June – Review and comment period
- End of June 2006 – Completion of adjudication and initial review of the first coordinating draft of the *NCR-HLS Strategic Plan*
- Second Week of July 2006 – Completion of the second coordinating draft of *NCR-HLS Strategic Plan*
- Third Week of July 2006 – Conduct Plenary Session to review/discuss second coordinating draft of the *NCR-HLS Strategic Plan* with key HLS stakeholders throughout the NCR

- End of July 2006 – Completion of final narrative version of the *NCR-HLS Strategic Plan*, with individual initiatives' specific costs and detailed performance measures completed to the greatest extent possible

3. Has the National Capital Region contracted with Booz Allen Hamilton to complete the National Capital Region Homeland Security Strategic Plan? If so, (1) when was Booz Allen Hamilton retained, (2) how much is the contract worth, and (3) is the contract paid with federal, state, or local funding?

The response to this question is in coordination with the response developed by Mr. Lockwood in the Office of National Capital Region Coordination.

As of 27 April 2006, Booz Allen Hamilton is not on contract to complete the NCR-HLS Strategic Plan. However, Booz Allen is supporting implementation activities through a DC contract using UASI funds with a current period of performance from December 22, 2005 to December 21, 2006.

A brief history of Booz Allen Hamilton's support related to the NCR Strategic Planning Process is below.

- Mid March-Mid May 2005 – The Office for National Capital Region Coordination of the Department of Homeland Security, using Booz Allen staff under contract to ONCRC, provided support to the NCR to produce the initial framing of the NCR strategic planning process (~30K effort)
- May-15 August 2005 – The District of Columbia Government contracted Booz Allen Hamilton, using UASI funds, through a fixed firm price contract, to continue support of the NCR strategic planning process (~96K effort)
- 15 August-30 November 2005 – The DHS Integration Staff and the Office of Infrastructure Protection, at the request of the ONCRC, provided support to the NCR using Booz Allen staff to support the strategic planning process through the November 2006 plenary session (~45K effort)
- 22 December 2005-21 December 2006 – The DC Government contracted Booz Allen Hamilton to support the *implementation* of NCR strategic plan related activities. Note that the original period of performance is through December 2006; however the contract is currently being modified to move up the timeframe for funded activities related to the strategic plan. (~486K effort)

4. **The District clearly relies on Maryland and Virginia for assistance if DC is evacuated. What responsibilities will Maryland and Virginia assume in the event of a DC evacuation, and have you exercised this scenario?**

Maryland and Virginia would both support the District if evacuation was necessary. All emergency response actions in the NCR, to include evacuation, are coordinated through WebEOC, which can be used by DC, Maryland, Virginia, and all NCR jurisdictions to report and track evacuation routes. The Maryland Department of Transportation (MDOT) has regional

traffic plans that support evacuation of the District. This includes a contra-flow plan to direct traffic out of DC on both sides of highways. Virginia and Maryland have full exchange of traffic and signal timing information, and, in the event of a District evacuation event, Virginia has a preset traffic control plan, which includes signal coordination and timing, and use of HOV lanes. Maryland also supports the District's shelter-in-place plan by coordinating school closings to avoid unnecessary traffic if possible. Maryland also assists in the plan for evacuating the daytime population of the District if an emergency occurs during the day. The region has used the past Presidential Inauguration and the 4th of July as chances to test the evacuation plans and a traffic signal exercise is scheduled for July 2006.

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