

NATIONAL CAPITAL REGION HOMELAND SECURITY STRATEGIC PLAN



*A strategic partnership to manage risk and
strengthen capabilities*

Volume I: Core Plan

Washington, DC
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NATIONAL CAPITAL REGION HOMELAND SECURITY STRATEGIC PLAN

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

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

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

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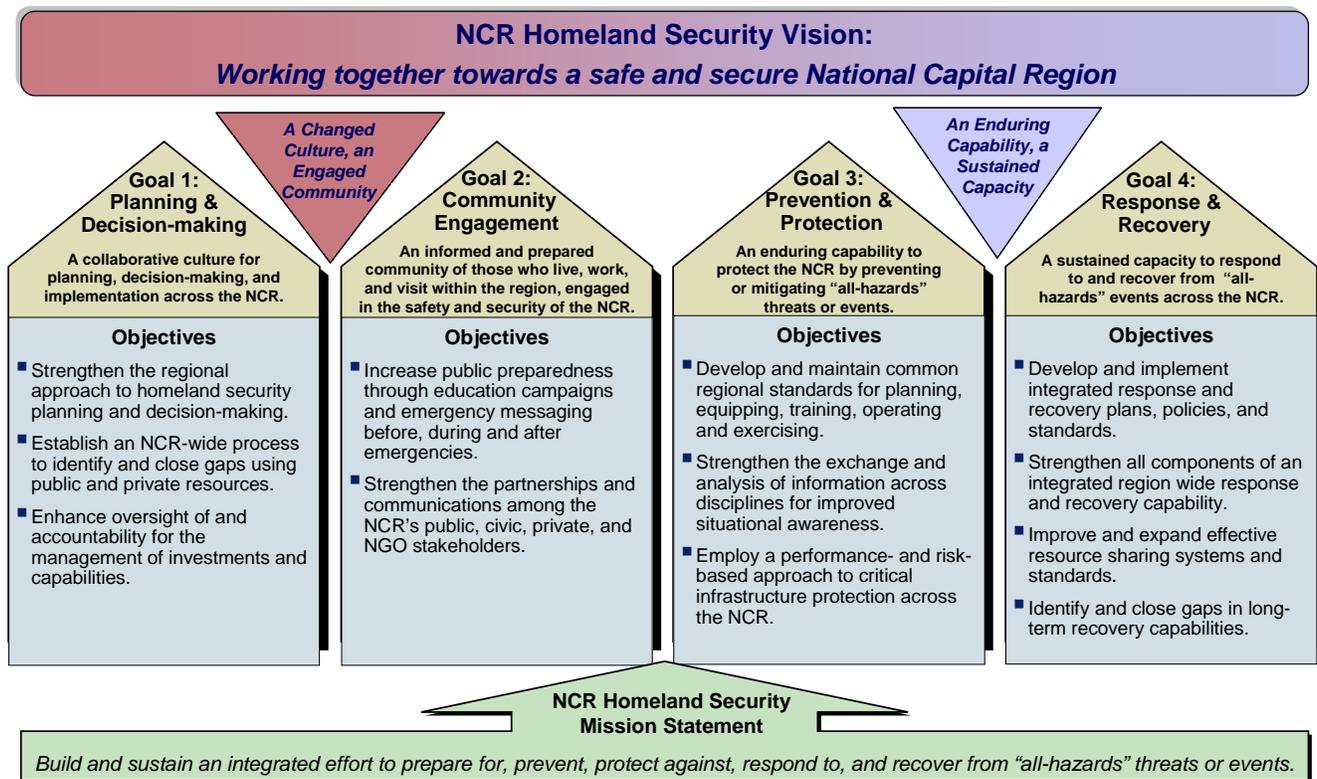
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Executive Summary

Since the terrorist events of September 11, 2001, the 14 jurisdictions that comprise the National Capital Region (NCR)¹ and our constituents have significantly improved Regional preparedness. This *National Capital Region Homeland Security Strategic Plan* developed by the NCR Homeland Security Partners² will further strengthen preparedness in the Region by providing a plan to integrate preparedness programs across all jurisdictions. We developed the *Strategic Plan* using an inclusive and transparent process building on the solid work done by the NCR Partners in the past.

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

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



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

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

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

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

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

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

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

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

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

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

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1. Purpose, Scope, and Methodology

1.1. Purpose

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

1.2. Scope

The *Strategic Plan* is a high-level unifying plan for integrating all-hazards *homeland security* activities in the NCR. We define "homeland security" as "a concerted regional effort to prevent terrorist attacks within the NCR, reduce the Region's vulnerability to all-hazards events, and minimize the damage and recover from events that do occur." In the *Strategic Plan*, we lay out the Region's long-term homeland security strategic Goals and Objectives for the next three to five years and specific Initiatives, cost estimates, and performance measures for fiscal years 2007 through 2009.¹

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

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

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

NCR Practitioner Disciplines

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

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

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

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

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

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

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

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

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

1.3. Methodology

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

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

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

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

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

2. The Core Elements of the Strategic Plan

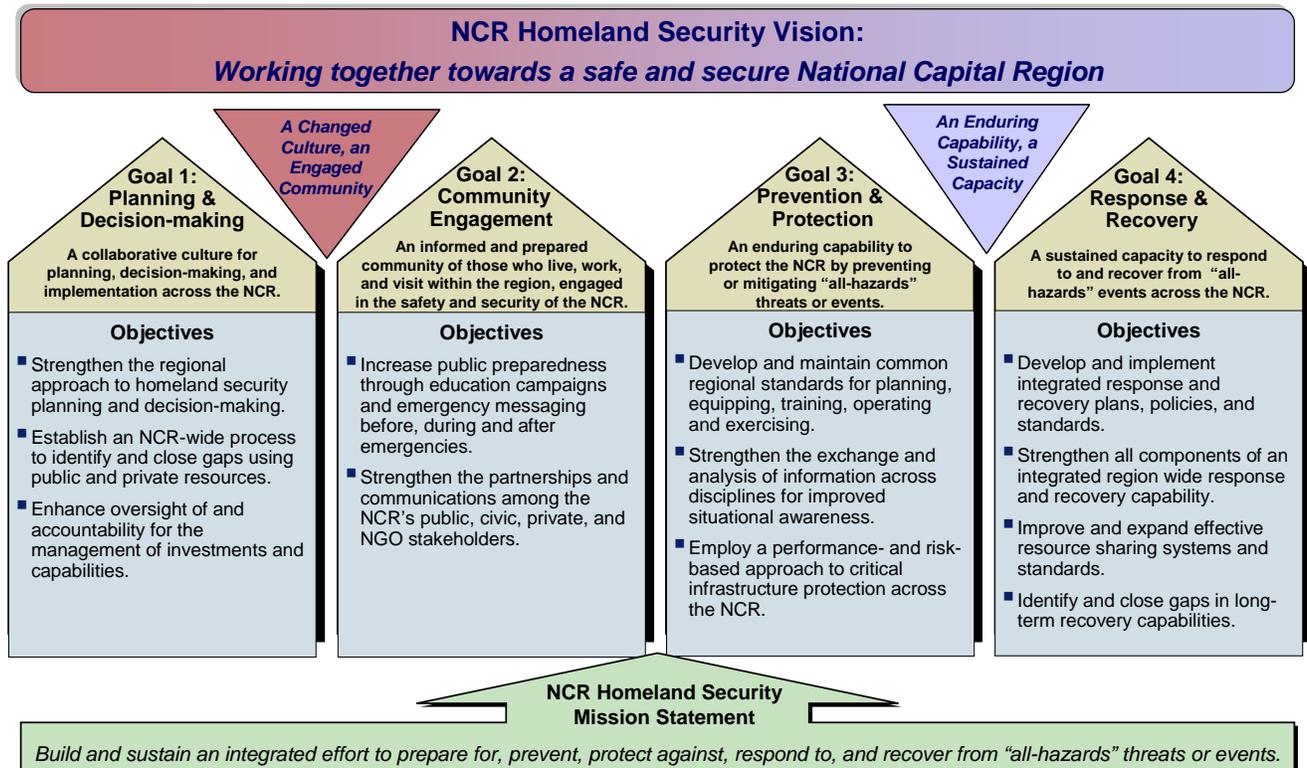
The *National Capital Region Homeland Security Strategic Plan* guides collective efforts to manage homeland security risks across the NCR resulting in targeted and enduring capabilities shared among the jurisdictions in a coordinated, efficient, and effective manner.

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

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

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

Figure 1.1—Core Elements of the Strategic Plan



2.1. Mission and Vision

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

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

2.2. Guiding Principles and Emerging Themes

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

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

These themes underpin the Guiding Principles⁴ depicted in the text box to the right. These Principles establish a standard of behavior for delivering on the promises contained in the *Strategic Plan*. The Guiding Principles not only help shape the *ends* (Goals and Objectives) but also provide a basis for prioritizing the *ways* (specific Initiatives) and determining the *means* (resources) included in the *Strategic Plan*. Ultimately, these Principles guide our approach to realizing our Vision for a safe and secure NCR.

2.3. Assessing Our Situation

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

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

Guiding Principles

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

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

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

We are affected by factors and potential events in our external environment of which we have little or no control. One major external consideration is the geographic, demographic, economic, and political diversity in the NCR. The NCR⁵ includes 11 local jurisdictions, two States, the District of Columbia, three branches of the Federal government, 7,000 non-profit organizations, and a large and diverse for-profit sector that employs nearly 500,000 people. Together with its residents and visitors, our population exceeds four and a half million on any given day. Integrating the needs and concerns of all of these groups into a homeland security strategy poses immense challenges.

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

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

2.4. Setting Goals and Objectives and Implementing Initiatives

2.4.1. Setting Goals

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

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

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

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

⁵ See Appendix H for a detailed explanation of which entities constitute the NCR.

⁶ We did not intend to impart any priority by numbering the Goals. Each Goal has equal standing but addresses different challenges in realizing our Vision.

2.4.2. Setting Objectives and Implementing Initiatives

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

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

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

| Objectives | Initiatives | |
|---|---|--|
| <ul style="list-style-type: none"> ■ 1.1 Strengthen the regional approach to homeland security planning and decision-making. ■ 1.2 Establish an NCR-wide process to identify and close gaps using public and private resources. ■ 1.3 Enhance oversight of and accountability for the management of investments and capabilities. | <p>1.1.1 Develop and periodically update the Strategic Plan and related processes.</p> | <p>1.1.2 Document and implement the components and sequence of the NCR HLS regional planning process, incorporating results of lessons learned.</p> |
| | <p>1.2.1 Design and conduct a risk-based threat analysis to identify and address gaps in regional preparedness.</p> | <p>1.2.2 Establish a requirements generation and prioritization process that addresses needs of all practitioners</p> |
| | <p>1.3.1 Establish regional oversight and accountability function with appropriate tools and resources for performance transparency.</p> | <p>1.3.2 Develop investment lifecycle planning approach to ensure infrastructure and resources are available to support multi-year operational capabilities.</p> |

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

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

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

| Objectives | Initiatives | |
|--|--|---|
| <ul style="list-style-type: none"> ■ 2.1 Increase public preparedness through education campaigns and emergency messaging before, during and after emergencies. ■ 2.2 Strengthen the partnerships and communications among the NCR’s public, civic, private, and NGO stakeholders. | <p>2.1.1 Establish regional protocols and systems for developing and distributing emergency information to all NCR populations.</p> | <p>2.1.2 Develop and sustain multi-year education campaigns to provide all the public (residents, workers and visitors) with preparedness information.</p> |
| | <p>2.2.1 Identify and develop opportunities and resources for stakeholder partnerships to broaden participation in public disaster preparedness.</p> | <p>2.2.2 Increase civic involvement and volunteerism in all phases of disaster preparedness.</p> |

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

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

| Objectives | Initiatives | | | |
|---|---|--|---|---|
| <ul style="list-style-type: none"> ■ 3.1 Develop and maintain common regional standards for planning, equipping, training, operating and exercising. ■ 3.2 Strengthen the exchange and analysis of information across disciplines for improved situational awareness. ■ 3.3 Employ a performance- and risk-based approach to critical infrastructure protection across the NCR. | <p>3.1.1 Develop a prevention and mitigation framework for the region.</p> | <p>3.1.2 Develop a synchronized and integrated training and exercise framework, with appropriate common standards.</p> | <p>3.1.3 Develop an integrated plan related to health surveillance, detection and mitigation functions between NCR Partners.</p> | <p>3.1.4 Develop a community-wide campaign, focused primarily on prevention and deterrence.</p> |
| | <p>3.2.1 Develop common regional information sharing and collaboration frameworks, to include determining roles, responsibilities and protocols.</p> | <p>3.2.2 Ensure that each jurisdiction has appropriate people cleared to receive, analyze, and act on sensitive and classified information.</p> | | |
| | <p>3.3.1 Conduct a prioritization of recommended high priority CIP protective and resiliency actions based on security assessment findings already completed and shared with the NCR</p> | <p>3.3.2 Create an inventory of CI of assets and work on developing a common methodology for assessing the risk to CI across all relevant sectors within the NCR and recommend initial protective and resiliency actions</p> | | |

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

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

| Objectives | Initiatives | | |
|---|---|---|--|
| <ul style="list-style-type: none"> ■ 4.1 Develop and implement integrated response and recovery plans, policies, and standards. ■ 4.2 Strengthen all components of an integrated region wide response and recovery capability. ■ 4.3 Improve and expand effective resource sharing systems and standards. ■ 4.4 Identify and close gaps in long-term recovery capabilities. | <p>4.1.1 Establish a corrective action program to modify plans by addressing gaps identified in analyses, exercises & events.</p> | <p>4.1.2 Align and integrate response plans across jurisdictions (including Federal partners), with emphasis on continuity of government, operations, and evacuation.</p> | <p>4.1.3 Define capabilities and expectations for decontamination and re-entry.</p> |
| | <p>4.2.1 Develop coordinated and standardized protocols for mandatory notification of regional partners during an emerging incident to maintain situational awareness.</p> | <p>4.2.2 Develop and implement a plan for regionally coordinated adoption and employment of National Incident Management System (NIMS).</p> | <p>4.2.3 Develop and implement enhanced architecture, infrastructure, and concept of operations for secure regional interoperable communications</p> |
| | <p>4.3.1 Develop a regional resource management system for deployment and utilization of resources.</p> | <p>4.3.2 Establish and implement regional, interdisciplinary protocols (e.g. Mutual Aid agreements).</p> | <p>4.3.3 Establish and implement regional, interdisciplinary standards for equipment interoperability.</p> |
| | <p>4.4.1 Model and exercise the appropriate 15 DHS scenarios to assess region-wide impact.</p> | <p>4.4.2 Align public, private and NGO resources with identified needs for response and recovery.</p> | <p>4.4.3 Review existing programs, mutual aid agreements, MOUs, and legislation to identify and close gaps in facilitating long-term recovery.</p> |

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

3. Problem Definition and Risk Assessment

3.1. Regional Context

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



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

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

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

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

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

3.2. Regional Risks and Threats

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

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

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

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

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

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

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

⁸ The CIP RPWG strategy has two major goals supportive of the overall risk-based approach of the *Strategic Plan*:

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

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

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

Table 3.1—Summary of Relative Risks to Region¹⁰

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

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

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

¹⁰ In Table 3.1, Law Enforcement Sensitive data has been redacted and is marked in the table with “LES.”

¹¹ Definition and descriptions of the CI/KRs are detailed more fully in the 2006 *National Infrastructure Protection Plan*.

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

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

By identifying the CI of the Region, assessing its physical, demographic, political, and economic characteristics, and determining its overall risk and associated vulnerabilities, we identified related gaps in our capabilities, some of which are¹²—

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

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

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

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

4. Implementation and Sustainment of the *Strategic Plan*

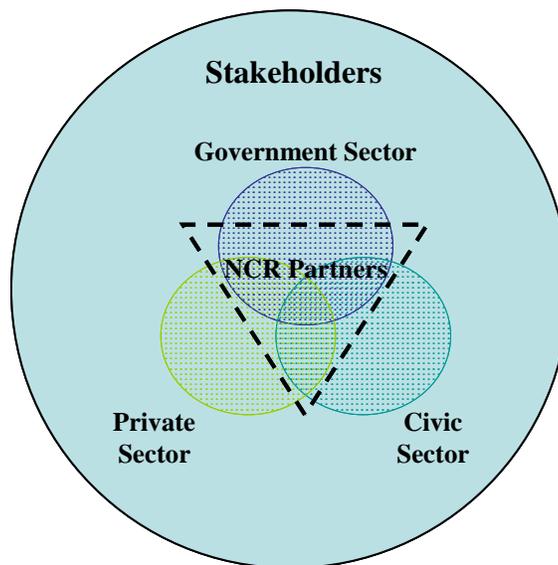
4.1. Organizational Roles, Responsibilities, and Coordination

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

4.1.1. NCR Stakeholders

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

Figure 4.1—NCR Partners



Government Sector

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

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

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

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

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

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

Private Sector

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

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

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

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

Civic Sector

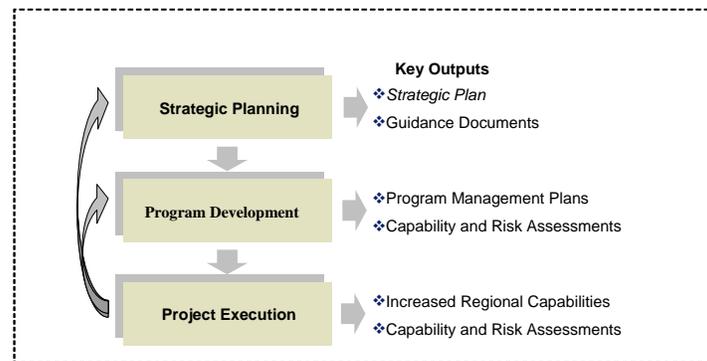
The civic sector encompasses those non-governmental organization entities, primarily non-profit organizations, which represent the needs and interests of the Region's 4.5 million residents and millions of annual visitors. When disaster strikes, the civic sector, especially non-profit organizations, citizen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

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

4.1.2. NCR Organization, Roles, and Responsibilities

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

Figure 4.2—NCR Homeland Security Governance Framework



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

Strategic Level

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

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

Regional Emergency Preparedness Council (EPC)

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

The EPC’s primary responsibilities include—

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

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

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

NCR Homeland Security Senior Policy Group (SPG)

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

Chief Administrative Officers (CAO), Committee on Homeland Security

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

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

Program Level

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

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

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

NCR Homeland Security Senior Policy Group (SPG)

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

Chief Administrative Officers (CAO), Committee on Homeland Security

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

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

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

Regional Emergency Support Functions (R-ESF) and Committees

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

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

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

Regional Program Working Groups (RPWG)

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

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

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

Project Level

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

4.2. Timeline, Sequence, and Execution

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

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

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

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

4.3. Performance Management and Reporting

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

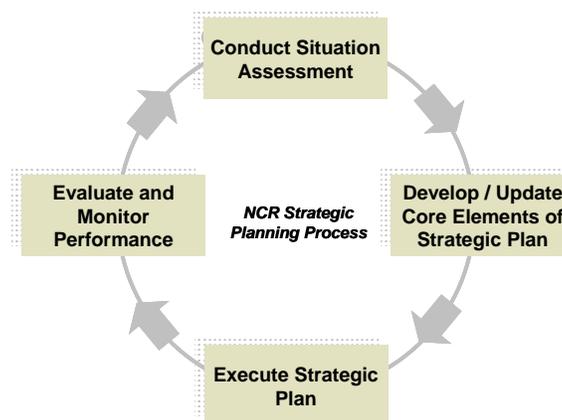
Performance plans describing detailed procedures for carrying out these steps for each Initiative will be developed as part of project execution planning that will be done to translate this *Strategic Plan* into action. The Initiative lead and associated working group will determine the means and frequency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

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

4.4. Sustainment of the Strategic Plan

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

Figure 4.3—NCR Strategic Planning Process



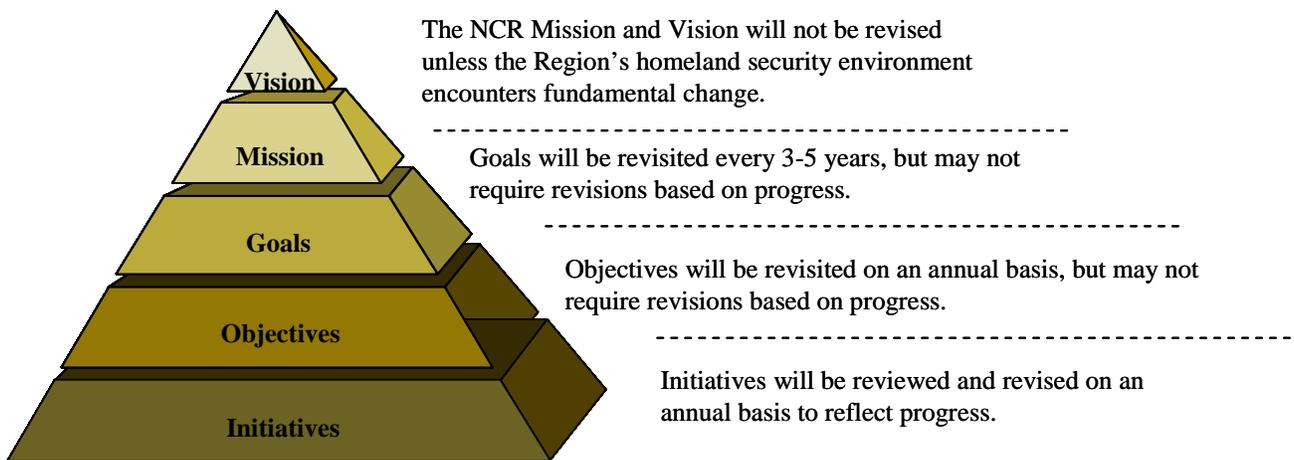
Sustaining the *Strategic Plan* requires continuous evaluation and monitoring of Regional performance. Implementation activities contained in the **Execute Strategic Plan** step are measured in the next step, **Evaluate and Monitor Performance**. Performance management activities are built into the Strategic,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

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

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

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

Figure 4.4—Adjustments to the Strategic Plan



4.5. Investment, Funding, and Budgeting Cycles

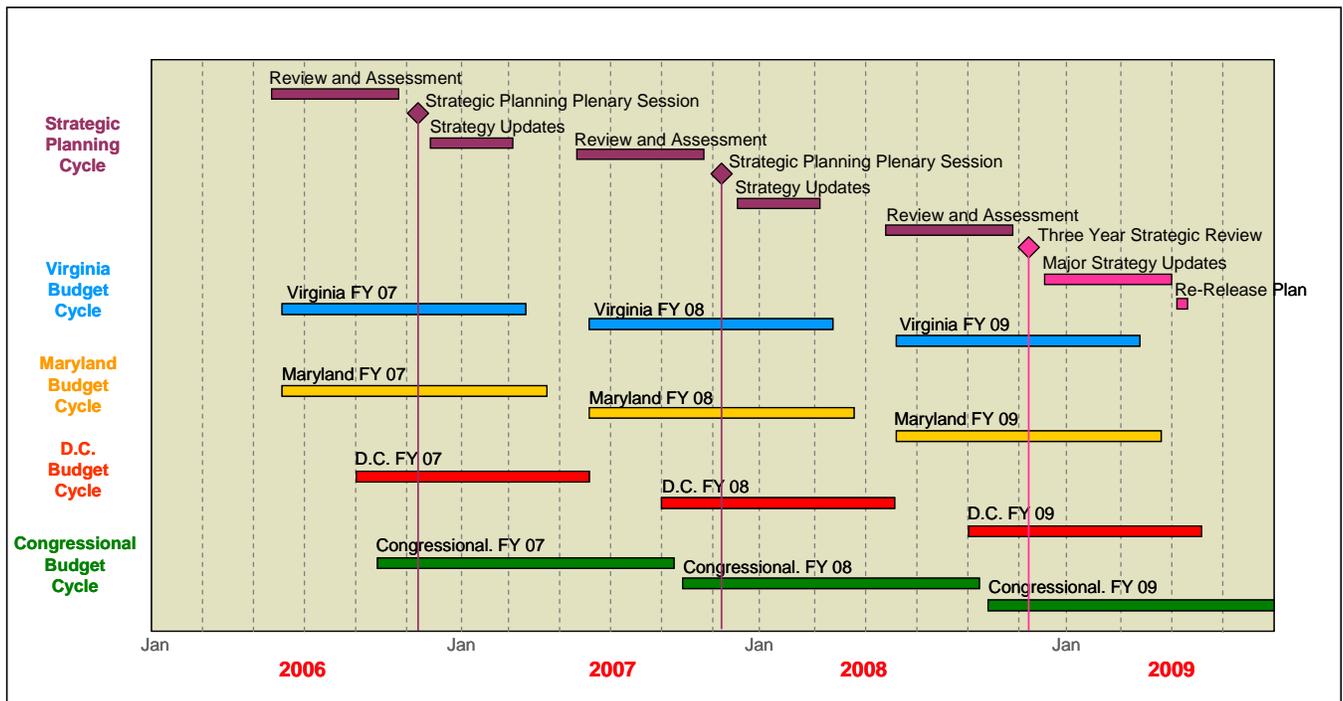
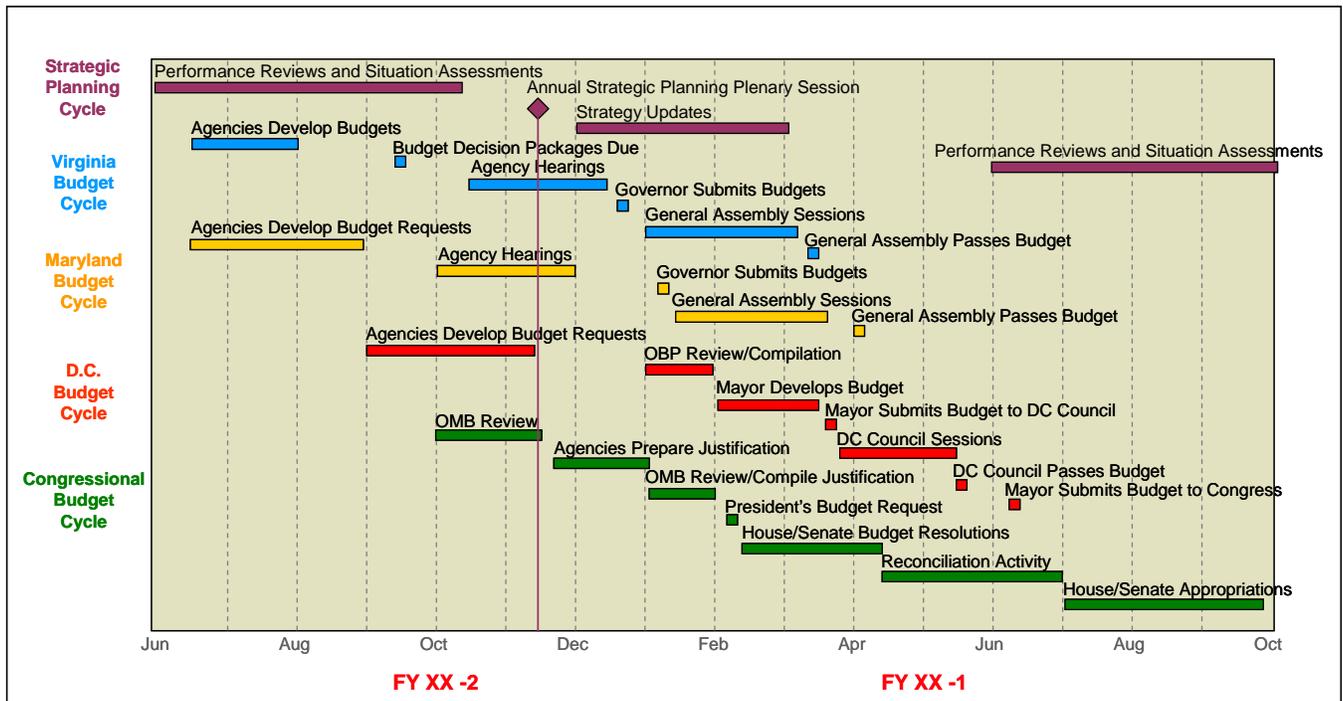
We tailored the *Strategic Plan* to complement local operating budget decision-making because the bulk of preparedness capability and operational enhancement decisions rests with local practitioners. Funding for project implementation starts with State and local commitments of resources. Local and State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

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

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

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

Figure 4.5—NCR Strategic Planning and Budget Cycles

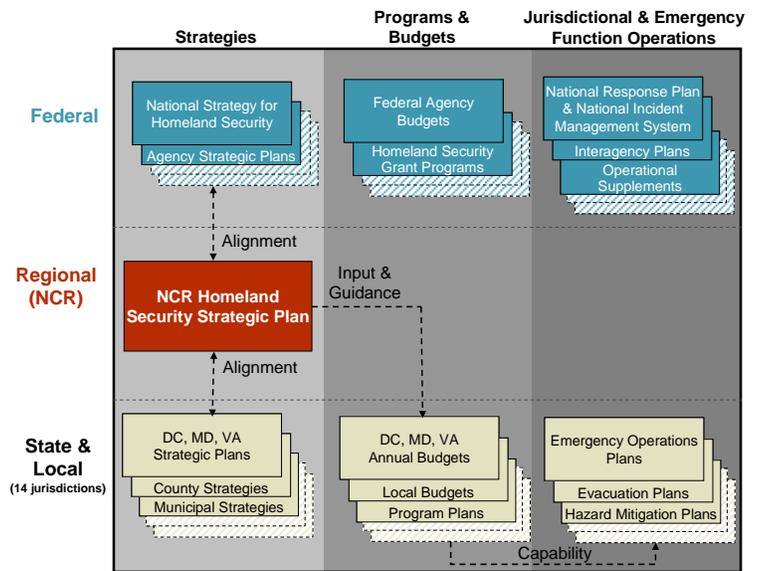


5. Alignment with Other Strategies and Planning Efforts

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

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

Figure 5.1—NCR Family of Plans¹⁶



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

5.1. Alignment with State and Local Jurisdictional Efforts

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

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

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

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

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

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

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

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

Table 5.1—Jurisdictional Homeland Security Strategic Plan Priorities¹⁸

| Washington, DC | Maryland | Virginia |
|---|---|---|
| <ul style="list-style-type: none"> • Prevent, eliminate, and/or reduce risks faced by the District • Protect the people, community, assets, and critical infrastructure in the District • Enhance the District’s all-hazards planning, education, and response capabilities • Enhance the District’s capabilities to restore and stabilize government operations and community life | <ul style="list-style-type: none"> • Intelligence and Warning, Domestic Counter-terrorism, and information sharing and Systems • Border and Transportation Security • Protect Critical Infrastructure and Key Assets • Defend Against Catastrophic Threats • Emergency Preparedness and Response • Law • Science and Technology • Funding Homeland Security | <ul style="list-style-type: none"> • Agribusiness • Citizens and Communities • First Responders • Government Operations and Funding • Health and Medical • Industry and Commerce • Technology • Transportation • Utilities |

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

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

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

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

Table 5.2—The Eight Homeland Security Areas to be Addressed in Partnership Across the NCR¹⁹

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

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

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

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

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

- Need for more robust hazard identification and risk assessments;

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

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

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

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

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

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

Table 5.3—Strategic Objectives Mapped Against Key EMAP Assessment Shortfalls²²

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

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

5.1.4. Operational Planning and Incident Management

Local and State jurisdictions are responsible for operational planning and incident management within the NCR.²³ Responsible authorities within these jurisdictions manage operations and incidents in accordance with the *National Incident Management System (NIMS)* and the *National Response Plan (NRP)*.²⁴ The NCR Partners and our respective jurisdictions are fully committed to the principles, organizations, doctrine, and procedures of the ICS²⁵ and Unified Command contained in NIMS. Incident Command authority during incidents is determined by the geographical location of the incident(s), based on existing plans.

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

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

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

When a State is overwhelmed, the State requests assistance from the Federal government. In large-scale responses, a Joint Field Office may be established to support the Unified Command.

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

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

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

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

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

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

5.2. Alignment with National Efforts

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

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

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

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

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

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

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

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

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

Table 5.4—Regional Gaps and Target Capabilities List Mission Areas

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

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

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

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

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

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

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

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

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

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

Table 5.5—Nationwide Plan Review Conclusions

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

6. Conclusion and Summary

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

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

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