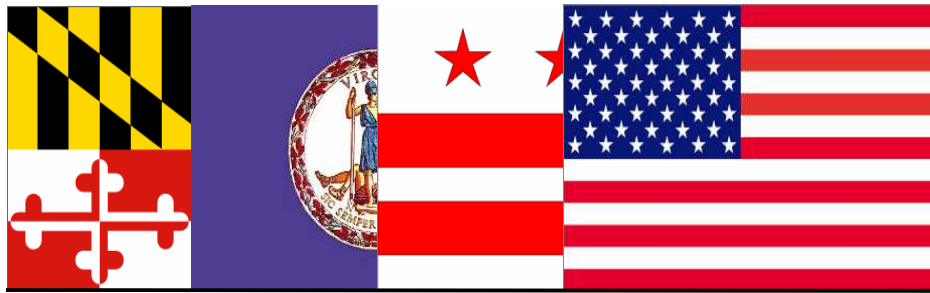


The purpose of this draft is to finalize the Strategic Plan. This draft is not intended for distribution outside the NCRC, the SPG/CAO and EPC communities, and the R-ESF and RPWG practitioners.

NATIONAL CAPITAL REGION HOMELAND SECURITY STRATEGIC PLAN



***A strategic partnership to manage risk and
strengthen capabilities***

Volume I: Core Plan

Washington, DC
August 2006

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1 ***NATIONAL CAPITAL REGION HOMELAND SECURITY STRATEGIC PLAN***

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

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

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

Gerald E. Connolly
Chairman
National Capital Region
Emergency Preparedness Council

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

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

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

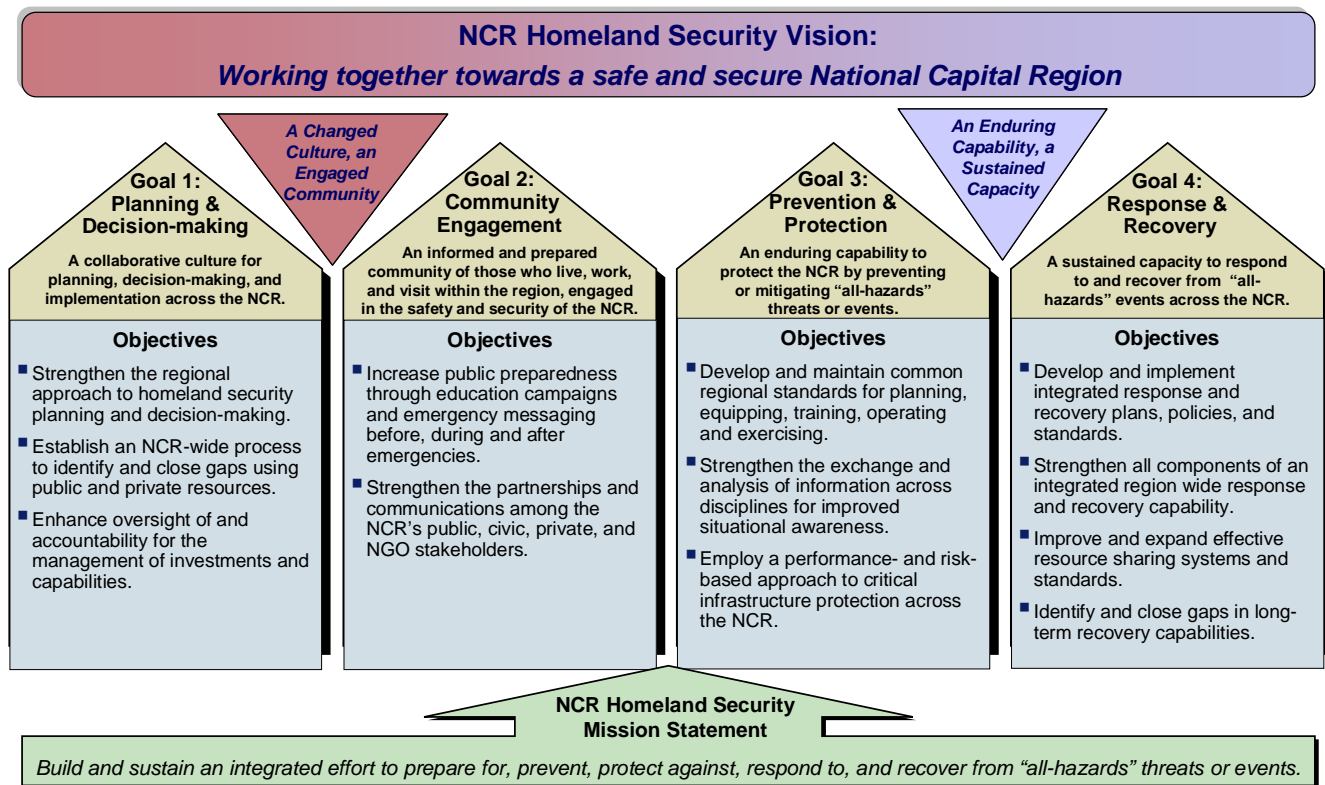
Thomas Lockwood
Director
Office for National Capital Region Coordination

13 **Executive Summary**

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

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

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



28

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

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

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

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

48 12 Objectives support our four Goals. They are the product of considerable discussion and debate
49 among the NCR Partners. Numerous gap and shortfall analyses, conducted by the NCR’s homeland
50 security senior leaders and independent analysts, helped define the Goals. In addition, *The National*
51 *Capital Region Program and Capability Enhancement Plan*, the *Emergency Management Accreditation*
52 *Program (EMAP)*, *National Capital Region Regional Assessment Report*, and the *Nationwide Plan*
53 *Review* set benchmarks for establishing Region-specific prevention, preparation, response, and recovery
54 capabilities and identify NCR-specific gaps.

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

66 We will measure our progress against this *Strategic Plan* and hold
67 ourselves accountable for continuous improvement. We recognize the
68 need to update the *Strategic Plan* on a recurring basis to reflect
69 changed conditions. As specific threats and the nature of all-hazards evolve, we will amend and adapt
70 our *Strategic Plan* as necessary. Finally, this *Strategic Plan* should be considered a capstone document
71 that guides the development of other planning efforts across the entire spectrum of preparedness in the
72 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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123 1. Purpose, Scope, and Methodology

124 1.1. Purpose

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

129 1.2. Scope

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

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

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

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

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

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

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.

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

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

169 The *Strategic Plan* is not an operational plan and is not a
170 replacement for local and State emergency operations plans.
171 Detailed operational plans, where necessary, will be updated by
172 Initiative leads as the strategic Initiatives are implemented. The
173 *Strategic Plan* does recognize the need to align jurisdictional
174 response plans, however, and addresses this issue in Initiative
175 4.1.2. The *Strategic Plan* is also not an investment plan. It does
176 not allocate funding to any of the Initiatives or change the
177 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.

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

180 **1.3. Methodology**

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

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

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

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

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

197 **2. The Core Elements of the Strategic Plan**

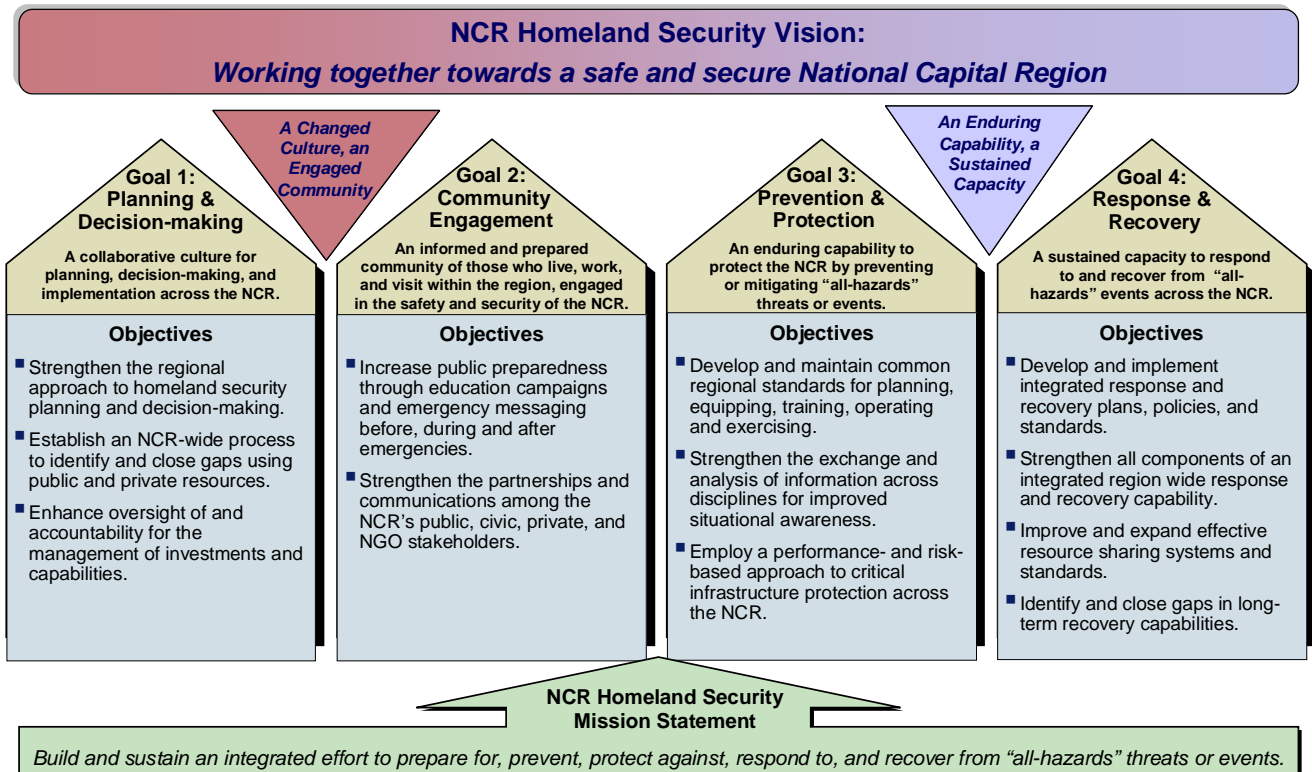
198 The *National Capital Region Homeland Security Strategic Plan* guides collective efforts to manage
 199 homeland security risks across the NCR resulting in targeted and enduring capabilities shared among the
 200 jurisdictions in a coordinated, efficient, and effective manner.

201
 202 To achieve this end, the *Strategic Plan* contains core elements similar to those found in many plans with
 203 comparable strategic aims:

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

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

215 **Figure 1.1—Core Elements of the Strategic Plan**



216

217 **2.1. Mission and Vision**

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

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

225 2.2. Guiding Principles and Emerging Themes

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

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

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

244 2.3. Assessing Our Situation

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

250 The NCR faces numerous internal challenges. We define internal challenges as factors or considerations
 251 regarding how the NCR itself is organized and functions. These include how we are staffed, resourced,
 252 and governed; statutory limitations on the NCR’s authority; and other considerations. One major
 253 internal challenge is that the NCR is not organized as an operational entity and does not have the
 254 “authority” to execute operations as an independent body. The NCR is a collection of sovereign
 255 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.

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

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

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

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

274 **2.4. Setting Goals and Objectives and Implementing Initiatives**

275 **2.4.1. Setting Goals**

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

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

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

286 ***Prevention & Protection and Response & Recovery:*** These two Goals directly address the outcomes we
287 need to attain across the full spectrum of preparedness—prevention, protection, response, and recovery.
288 These latter two Goals collectively address the nuts and bolts of NCR preparedness and consume the
289 largest share of resources. The Prevention & Protection Goal addresses threats and reduces
290 vulnerabilities. The Response & Recovery Goal builds capabilities to speed restoration of normal
291 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.

292 **2.4.2. Setting Objectives and Implementing Initiatives**

293 We have established specific Objectives that serve as milestones toward the accomplishment of each
 294 Goal. This approach breaks down each Goal into more concrete (and measurable) components.⁷ Figure
 295 1.1 shows 12 supporting Objectives that are essential (but not necessarily sufficient) to attaining these
 296 Goals.

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

304 **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. 	1.1.1 Develop and periodically update the Strategic Plan and related processes.	1.1.2 Document and implement the components and sequence of the NCR HLS regional planning process, incorporating results of lessons learned.
	1.2.1 Design and conduct a risk-based threat analysis to identify and address gaps in regional preparedness.	1.2.2 Establish a requirements generation and prioritization process that addresses needs of all practitioners
	1.3.1 Establish regional oversight and accountability function with appropriate tools and resources for performance transparency.	1.3.2 Develop investment lifecycle planning approach to ensure infrastructure and resources are available to support multi-year operational capabilities.

305

306

307 **Goal Two:** The Objectives under the second Goal, *Community Engagement*, are critical to building
 308 enduring capabilities and enhancing the overall state of preparedness within the NCR. An active
 309 community that does its part to ensure its own safety and security is necessary for the long-term success
 310 of the *Strategic Plan*. Given that a significant percent of critical infrastructure in the Region is owned
 311 and operated by the private sector, public authorities and commercial partners must work together to
 312 ensure safety and security. Non-governmental entities also play a critical support role by delivering key
 313 services such as mass care, human services, medical, and other community services. Community
 314 engagement Initiatives require cross-jurisdictional leadership and coordination by government leaders
 315 and extensive cooperation from community and private sector leaders. Figure 1.3 below details the
 316 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.

317

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>

318

319

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

328

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>		

329

330

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

341 **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. 	4.1.1 Establish a corrective action program to modify plans by addressing gaps identified in analyses, exercises & events.	4.1.2 Align and integrate response plans across jurisdictions (including Federal partners), with emphasis on continuity of government, operations, and evacuation.	4.1.3 Define capabilities and expectations for decontamination and re-entry.
	4.2.1 Develop coordinated and standardized protocols for mandatory notification of regional partners during an emerging incident to maintain situational awareness.	4.2.2 Develop and implement a plan for regionally coordinated adoption and employment of National Incident Management System (NIMS).	4.2.3 Develop and implement enhanced architecture, infrastructure, and concept of operations for secure regional interoperable communications
	4.3.1 Develop a regional resource management system for deployment and utilization of resources.	4.3.2 Establish and implement regional, interdisciplinary protocols (e.g. Mutual Aid agreements).	4.3.3 Establish and implement regional, interdisciplinary standards for equipment interoperability.
	4.4.1 Model and exercise the appropriate 15 DHS scenarios to assess region-wide impact.	4.4.2 Align public, private and NGO resources with identified needs for response and recovery.	4.4.3 Review existing programs, mutual aid agreements, MOUs, and legislation to identify and close gaps in facilitating long-term recovery.

342 Appendix A provides additional detail on each Initiative, including performance measures, timeline, and
 343 rough cost ranges where detail permits. Section 4.2 provides an overview of the implementation
 344 timeline.
 345

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.

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

378 3.2. Regional Risks and Threats

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

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

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

- 393 • Identify the types of hazards;
- 394 • Assess the levels of risk;
- 395 • Assess the consequences and impacts of hazard events;
- 396 • Prioritize the hazards; and
- 397 • Forecast emerging threats.

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

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

405 Over the past few years, several vulnerability assessments have been completed for the NCR and its
406 member jurisdictions. These studies used guidelines provided by the Federal Emergency Management
407 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.

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

412 **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

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

424 The CI areas of transportation and energy sectors are also at risk—they are heavily depended upon by
 425 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*.

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

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

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

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

456 The *Strategic Plan* focuses attention and resources on Initiatives that address the highest risk areas for
457 the Region. The gaps in capabilities identified above, drawn from recent assessments as summarized in
458 Table 3.1, provide a sense of the Region's vulnerabilities identified to date.¹³ These vulnerabilities,
459 considered alongside threat and impact factors, provide a basis for determining those areas at highest
460 risk and developing the Regional Goals, Objectives, and prioritization of Initiatives outlined in this
461 *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*.

462 **4. Implementation and Sustainment of the Strategic Plan**

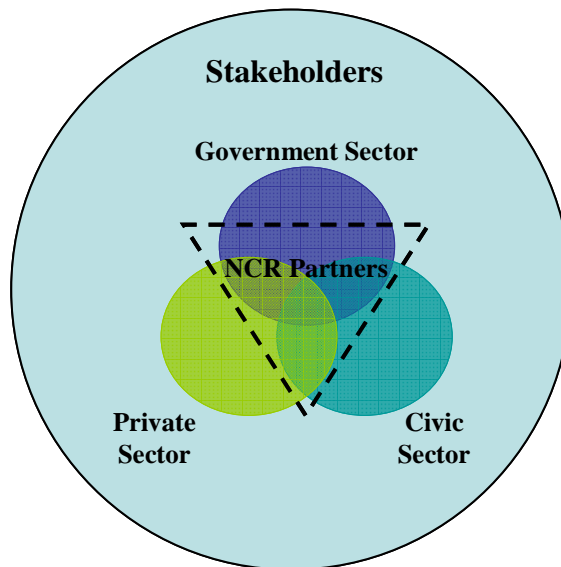
463 **4.1. Organizational Roles, Responsibilities, and Coordination**

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

470 **4.1.1. NCR Stakeholders**

471 A homeland security stakeholder is any party who affects or is influenced by preparedness activities in
472 the Region. For the purposes of this *Strategic Plan*, stakeholders are categorized into three major
473 sectors: the Government, Private, and Civic. The NCR Partners are a sub-category of stakeholders
474 within these three categories (depicted in Figure 4.1).
475
476

Figure 4.1—NCR Partners



477 **Government Sector**

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

484 Because of the unique nature of the NCR, some Federal entities have specific roles that impact the
485 *Strategic Plan*. For example, the Office for NCRC within DHS, established by the *Homeland Security*
486 *Act of 2002*, is charged with overseeing and coordinating Federal programs for and relationships with
487 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
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488 other coordinating mechanisms, the Director of the NCRC serves as a liaison between the Federal
489 government, State, local, and Regional authorities, and private sector entities in the NCR. The JFC
490 promotes a focused Regional effort among representatives from the Executive, Legislative, and Judicial
491 branches of the Federal government within the NCR.¹⁵

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

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

503 **Private Sector**

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

513 Private sector stakeholders, often directly or through sponsoring organizations such as the Board of
514 Trade, Chamber of Commerce, Washington DC Convention and Tourism Corporation, and other
515 consortia, engage in projects to provide subject matter expertise in building Regional capabilities across
516 the spectrum of preparedness activities. For example, private entities play a key role in the protection
517 and recovery of key assets during both manmade and natural disasters, and are part of critical
518 infrastructure planning efforts. The NCR continues to seek additional ways to increase the participation
519 of private sector stakeholders through other mechanisms, such as roundtables and public-private
520 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.

521 **Civic Sector**

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

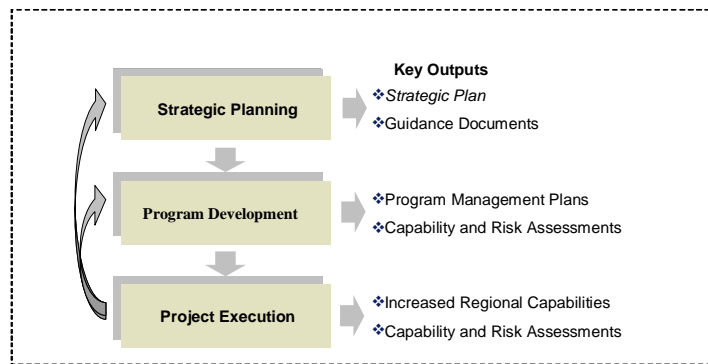
533 The NCR is continually seeking to enhance its governance framework and strategic planning efforts to
534 ensure meaningful input from community and non-profit groups is appropriately included in the
535 Region’s preparedness activities. NCR Partners’ views are incorporated into the NCR strategic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

538 **4.1.2. NCR Organization, Roles, and Responsibilities**

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

556

Figure 4.2—NCR Homeland Security Governance Framework



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

564 **Strategic Level**

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

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

582 *Regional Emergency Preparedness Council (EPC)*

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

588
 589 The EPC’s primary responsibilities include—

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

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

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

617 *NCR Homeland Security Senior Policy Group (SPG)*

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

628 *Chief Administrative Officers (CAO), Committee on Homeland Security*

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

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

636 **Program Level**

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

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

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

658 *NCR Homeland Security Senior Policy Group (SPG)*

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

663 *Chief Administrative Officers (CAO), Committee on Homeland Security*

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

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

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

675 *Regional Emergency Support Functions (R-ESF) and Committees*

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

- 682 • R-ESF #1 Transportation
- 683 • R-ESF #2 Communications Infrastructure
- 684 • R-ESF #3a Public Works and Engineering—Water
- 685 • R-ESF #3b Public Works and Engineering—Solid Waste
- 686 • R-ESF #4 Firefighting
- 687 • R-ESF #5 Emergency Management
- 688 • R-ESF #6 Mass Care, Housing, and Human Services
- 689 • R-ESF #7 Resource Support
- 690 • R-ESF #8 Public Health and Medical Services
- 691 • R-ESF #9 Urban Search and Rescue
- 692 • R-ESF #10 Oil and Hazardous Materials Response
- 693 • R-ESF #11 Agriculture and Natural Resources
- 694 • R-ESF #12 Energy
- 695 • R-ESF #13 Public Safety and Security
- 696 • R-ESF #14 Long-term Community Recovery and Mitigation
- 697 • R-ESF #15 External Affairs
- 698 • R-ESF #16 Donations and Volunteer Management

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

702 *Regional Program Working Groups (RPWG)*

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

- 710 • Exercise and Training Operational Program (ETOP);
- 711 • Health Community Services;
- 712 • Interoperability;
- 713 • Critical Infrastructure Protection;
- 714 • Human Services; and
- 715 • Community Preparedness.

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

724 **Project Level**

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

733 **4.2. Timeline, Sequence, and Execution**

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

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

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

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

4.3. Performance Management and Reporting

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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.

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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.

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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).

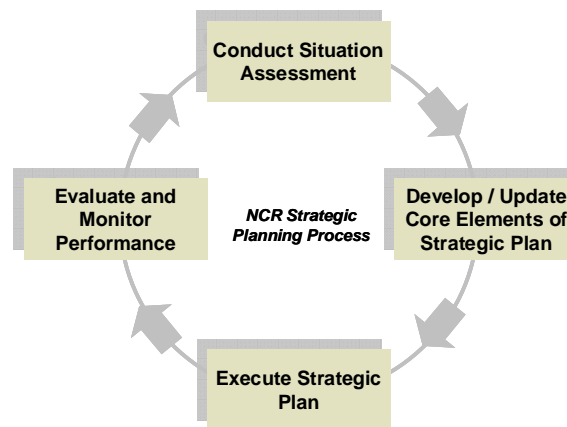
4.4. Sustainment of the Strategic Plan

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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.

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Figure 4.3—NCR Strategic Planning Process



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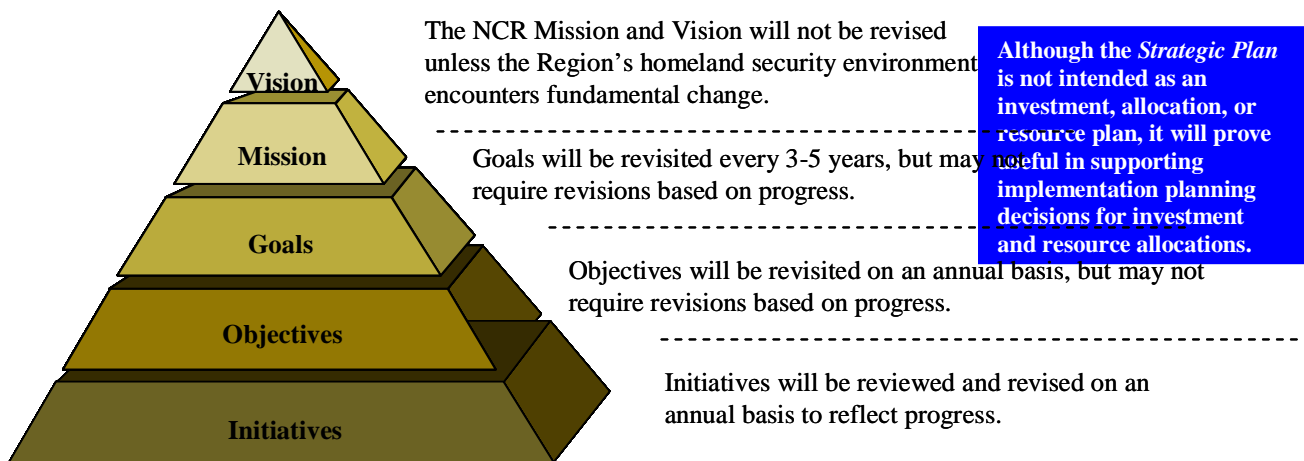
Sustaining the *Strategic Plan* requires continuous evaluation and monitoring of Regional performance. Implementation activities contained in the **Execute Strategic Plan** step are measured in the next step, **Evaluate and Monitor Performance**. Performance management activities are built into the Strategic, 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.

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

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

810 **Figure 4.4—Adjustments to the Strategic Plan**

811 **4.5. Investment, Funding, and Budgeting Cycles**



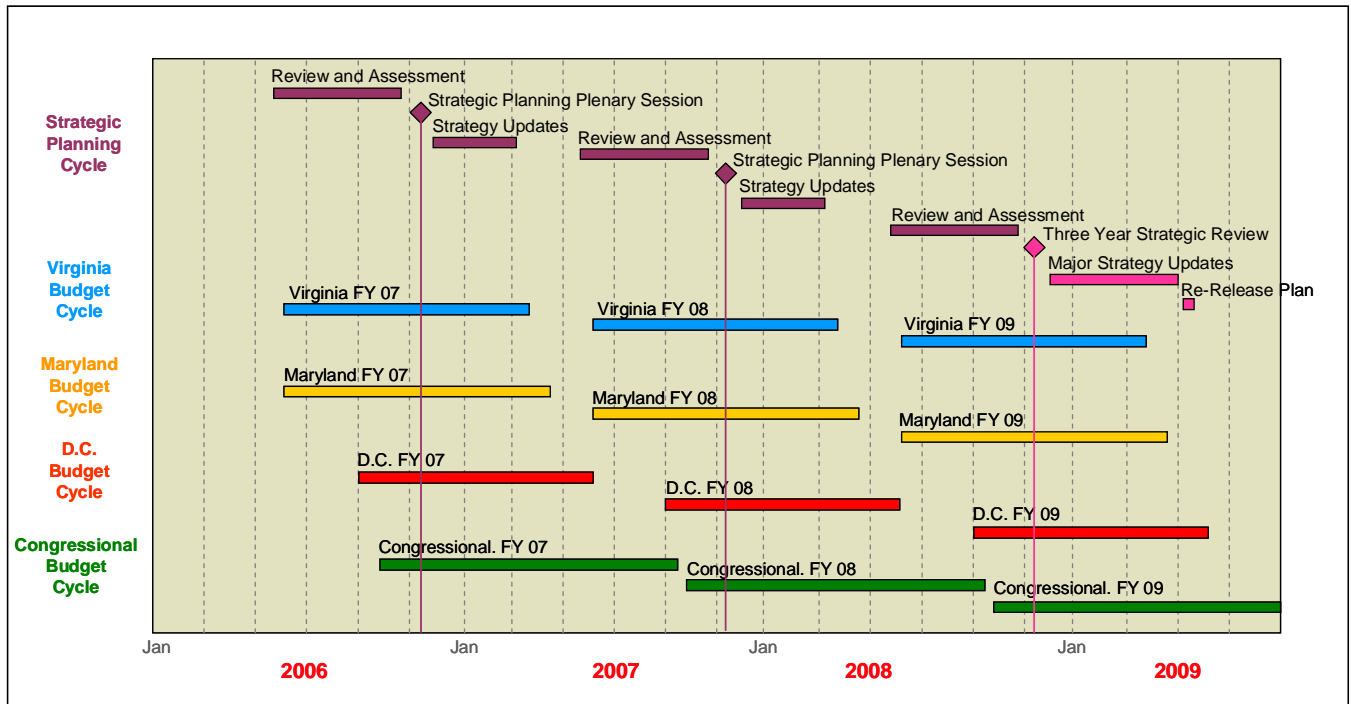
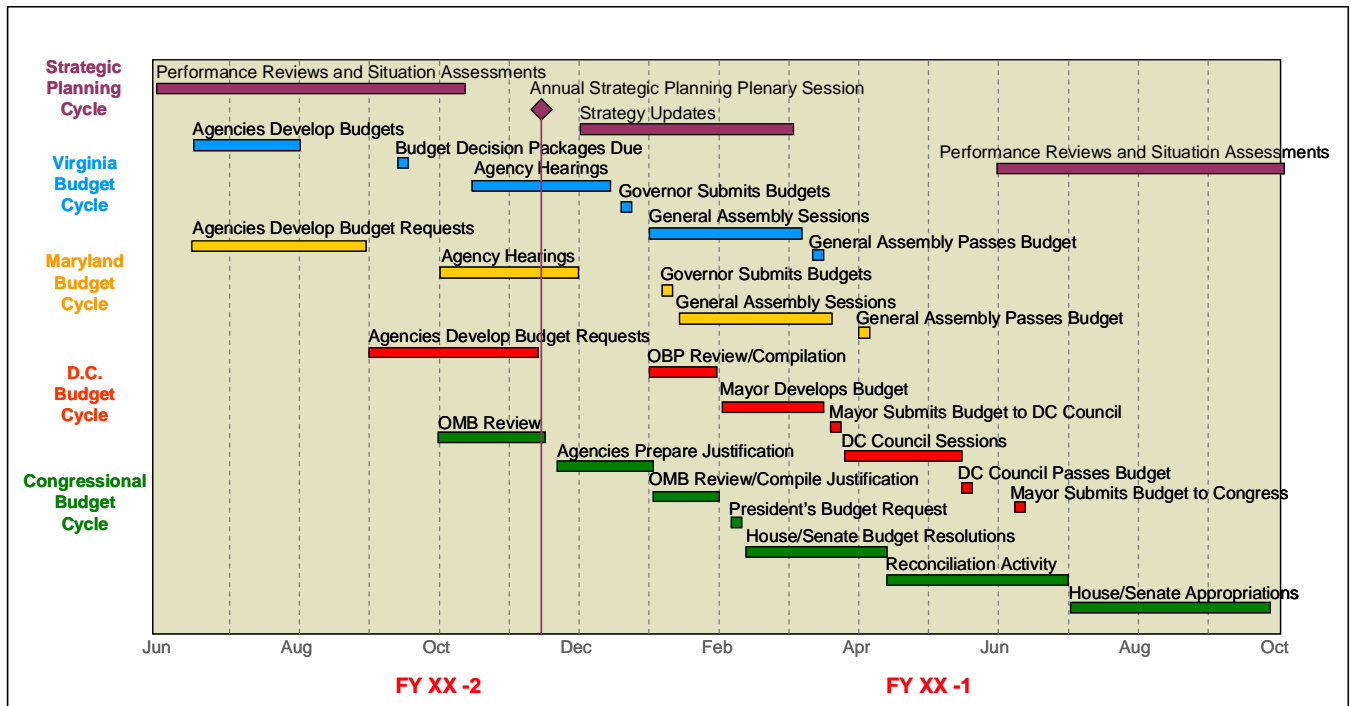
812 We tailored the *Strategic Plan* to complement local operating budget decision-making because the bulk of
 813 preparedness capability and operational enhancement decisions rests with local practitioners. Funding for project
 814 implementation starts with State and local commitments of resources.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

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

823 The annual review of the *Strategic Plan* is timed to correspond with the Federal, Maryland, Virginia, and District of
 824 Columbia budget cycles. This timing facilitates the acquisition of funding for Initiative projects. Figure 4.5 below

825 provides a graphical depiction of the NCR homeland security strategic planning and budget cycles consistent with
826 the four budget cycles on a one- and three-year timeline.

Figure 4.5—NCR Strategic Planning and Budget Cycles

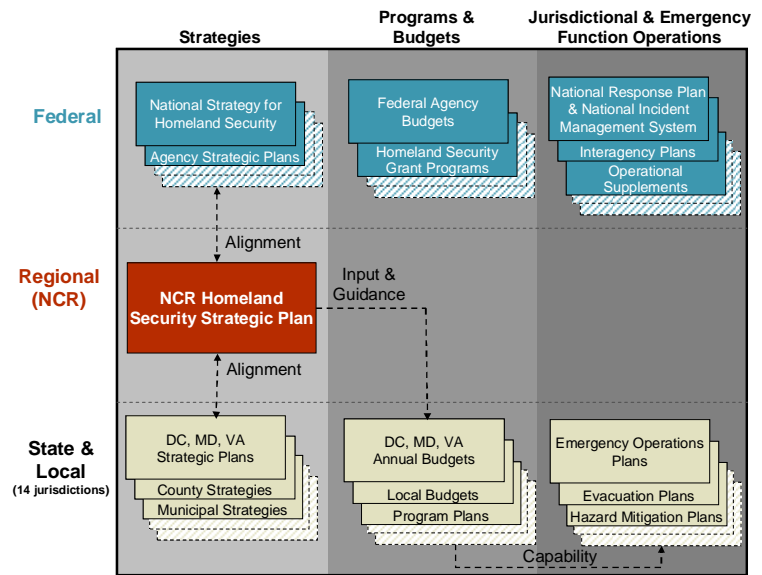


829 **5. Alignment with Other Strategies and Planning Efforts**

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

834 The *Strategic Plan* aligns Regional with
 835 and State/local efforts through identification
 836 common Goals, Objectives, and Initiatives
 837 implemented by the jurisdictions over the
 838 three to five years. In addition, the
 839 *Strategic Plan* provides a framework by
 840 State and local entities can plan, resource,
 841 track priority homeland security related
 842 programs and budgets. As the *Strategic*
 843 implemented, the jurisdictions will be able
 844 determine their level of contribution and
 845 commitment to the achievement of Goals
 846 Initiatives. Although the *Strategic Plan*
 847 not directly affect the jurisdictional and
 848 emergency function operational plans (e.g.,
 849 hazard mitigation plans, emergency
 850 response) or address operational level
 851 the *Strategic Plan* does influence specific capabilities resourced by the jurisdictions that support operational
 852 plans.¹⁷
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Figure 5.1—NCR Family of Plans¹⁶



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

856 **5.1. Alignment with State and Local Jurisdictional Efforts**

857 **5.1.1. State Plans' Alignment with the Strategic Plan**

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

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

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.

865 extensive collaboration to effectively manage catastrophic events. The District of Columbia plan also cites
 866 collaboration as a central theme in developing an effective, unified approach to preparedness.

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

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

881 **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

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

890 **5.1.2. States’ and the District of Columbia’s Priorities Reflected in the *Strategic Plan***

¹⁸ Extracted from District of Columbia, Maryland, and Virginia homeland security strategies.
Final Draft— August 18, 2006

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

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

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

897 **5.1.3. Improvement Areas Identified in the EMAP Assessment for the NCR**

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

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

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

- 908 • Need for more robust hazard identification and risk assessments;
- 909 • Limitations in current plans and procedures for mitigation, Continuity of Operations (COOP), and
 910 recovery; and
- 911 • Inconsistency among ICS operations within the NCR.

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.

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

914 Not only does the *Strategic Plan* address the EMAP recommendations, but the *Strategic Plan's* Initiatives also
915 address 54 of the 58 EMAP national standards. See Appendix F for a description of the alignment of the Initiatives
916 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.

919 5.1.4. Operational Planning and Incident Management

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

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

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

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

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

952 In cases of a declared Incident of National Significance, a National Security Special Event (NSSE), or other events
953 requiring a coordinated Federal response within the NCR, the Secretary of Homeland Security may designate a
954 Principal Federal Official (PFO) to act as his/her representative locally to oversee, coordinate, and execute the
955 Secretary’s incident management responsibilities.²⁶ The PFO facilitates Federal support to the established ICS
956 Unified Command Structure and coordinates overall Federal incident management and assistance activities. NSSEs

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.

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

957 such as Presidential Inaugurations and State of Union Addresses are fairly common in the NCR, and the likelihood
958 of an event requiring Federal support within the NCR is high. Operational coordination among local, State, and
959 Federal authorities is exercised regularly and with good effect. The NCR regularly executes NSSEs and is prepared
960 to respond to a large-scale event requiring multijurisdictional coordination.

961 **5.2. Alignment with National Efforts**

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

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

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

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

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

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

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

996 As part of the strategic planning process, we drew up a list of current gaps in the NCR’s homeland security efforts.
 997 The list of Regional gaps in homeland security planning frames and provides context for addressing the 37 Target
 998 Capabilities in the NCR. Each of the identified Regional gaps is addressed by at least one of the *TCL* Mission
 999 Areas—*common capabilities, Prevent, Protect, Recover, and Respond* (see Table 5.4)—and all 37 specific target
 1000 capabilities can be linked directly or indirectly to the Regional gaps. Implementing the strategic Initiatives and
 1001 closing the identified gaps in Regional homeland security will substantially reduce risk to the Region and move us
 1002 much closer to developing capabilities mandated by DHS.

1003 **Table 5.4—Regional Gaps and Target Capabilities List Mission Areas**

1004 In June 2006, DHS released the *Nationwide Plan Review Phase Two Report*, which provided an assessment of the

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

1005 status of catastrophic planning for States and 75 of the Nation’s largest urban areas. The review gave the NCR
 1006 generally “partially sufficient” ratings on its plans—we can meet some, but not all, of the requirements for
 1007 catastrophic incident response planning and capabilities. Although the mass care and health and medical annexes
 1008 were assessed as insufficient, the basic plans and other annexes (direction and control, communications, warning,
 1009 emergency public information, evacuation, and resource management) received positive or partially sufficient
 1010 marks. Nevertheless, the review assessed the NCR’s current plan as insufficient overall to meet the requirements of
 1011 a catastrophic incident. DHS’ conclusions were based primarily on shortfalls in Regional integration, coordination,
 1012 and contingency planning needed to address a major jurisdictional failure.

1013 This *Strategic Plan* addresses the *Nationwide Plan Review*’s conclusions by recognizing the need for greater
 1014 synchronization and by outlining Initiatives that create or reinforce regionally coordinated plans for both policy and
 1015 operations. The *Nationwide Plan Review* included 15 “initial conclusions” that outline areas in which States and
 1016 Urban Areas are lacking or could improve their catastrophic incident response planning.²⁷ The *Strategic Plan*
 1017 addresses each of these 15 conclusions with at least one Objective, as outlined in Table 5.5 below.

1018 In addition to bringing the Region into alignment with Federal-level homeland security strategies and plans, the
 1019 *Strategic Plan* works in concert with DHS’ risk-based grant program. Starting in fiscal year 2006, DHS moved to a
 1020 competitive risk-based process for distributing homeland security grant funding. The process was designed to
 1021 ensure that Federal homeland security grants would be distributed to those areas—like the NCR—that face the
 1022 highest level of risk and to those areas likely to use the funds most effectively in implementing National, State, and
 1023 Regional plans.

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.

1024 The *Strategic Plan* served as a guiding document in the development of the *2006 District of Columbia and National*
1025 *Capital Region Program and Capability Enhancement Plan*. The *Enhancement Plan*, which is the foundation for
1026 the Region's submission for DHS grant funding, lays out the resources required for building and sustaining
1027 capabilities to reduce the Region's vulnerability to all-hazards risks and threats.

1028 The *Enhancement Plan* was based jointly on the *Strategic Plan*, the *TCL*, and a series of Capability Review
1029 sessions. During the Capability Review Sessions, representatives from across the Region reviewed a series of
1030 priority capabilities (eight mandated by DHS and six based on the draft *Strategic Plan*); discussed the Region's
1031 current ability to meet the *TCL*'s desired outcome; and identified resources necessary to meet or maintain the
1032 capabilities. In this way, the *Strategic Plan* works together with Federal mandates to drive the Region's
1033 participation in DHS grant programs.

1034 In future years, the *Strategic Plan* will play a similar role by guiding the Region's selection of priority capabilities
1035 to be improved, along with any federally mandated capabilities in each subsequent grant cycle. The *Strategic Plan*
1036 has also been designed to be flexible enough (see Section 4.5) to adapt to changing national priorities and shifting
1037 Federal mandates, while keeping its focus on reducing the Region's overall risk.

1038 By focusing on Regional collaboration and the implementation of local priorities in support of State and Federal
1039 plans, the *Strategic Plan* will help ensure the Region receives funding commensurate with its risk and importance
1040 and spends grant money in an effective and efficient way. In addition to grants from DHS' Homeland Security
1041 Grant Program, the *Strategic Plan* also guides selection of priorities for other Federal grant programs, including
1042 those from the Department of Health and Human Services, the Department of Justice, and others.

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	

1045 6. Conclusion and Summary

1046 The NCR Partners are committed to **“Working together towards a safe and secure National Capital Region”**
1047 and implementing the steps detailed in the *Strategic Plan*. We will continue to manage homeland security risks
1048 across the NCR through an integrated approach that is based on cooperative implementation of the *Strategic Plan’s*
1049 four Goals, 12 Objectives, and 30 Initiatives over the next three to five years.

1050 The NCR is prepared to respond quickly and effectively with well-trained and equipped teams when disasters occur
1051 and to continue to address gaps in all dimensions of all-hazards preparedness within the NCR. While not an
1052 operational plan, the *Strategic Plan* will provide numerous benefits that will enhance the overall preparedness of
1053 the Region, such as: more efficient allocation of resources throughout the Region; increased communication,
1054 interaction, and coordination among stakeholders; and transparency in funding priorities. With a single coordinated
1055 and integrated strategic plan properly aligned with other national and State/local efforts, the NCR is able to
1056 effectively and consistently focus limited emergency management resources throughout the Region on the most
1057 critical needs and maintain a forward looking position on Regional preparedness.

1058 Throughout the strategic planning process, we emphasized Regional coordination and gained unparalleled
1059 commitment from government officials at every level. We built the *Strategic Plan* on a foundation of shared
1060 leadership and responsibility to secure the Region. We intend to limit the impact of disasters before they occur,
1061 implement and continually improve our ability to manage risk, and enhance enduring and sustainable all-hazards
1062 capabilities. We are committed to use this high-level road map as a starting point for more detailed planning efforts
1063 to achieve the Goals and Objectives described in this document. The *Strategic Plan* serves as the foundation for
1064 our future efforts and provides guidance and priorities for the work ahead.