

NCR PMO Design Project



NATIONAL CAPITAL REGION (NCR) PROJECT MANAGEMENT OFFICE (PMO) DESIGN PROJECT

Contract No.: 14-002

DELIVERABLE: Final PMO Design and Governance

October 29, 2013

Submitted by:

The Clearing, Inc.
1250 Connecticut Ave, Suite 625
Washington, DC 20036

Submitted to:

Stuart Freudberg
Senior Director, Environment, Public Safety and Health
Metropolitan Washington Council of Governments
777 North Capitol Street, NE, Suite 300
Washington, DC 20002

Document Version Control

Date	Reason for Change
10/11/2013	Submitted for PMO Design Team Review
10/18/2013	Incorporated comments and resubmitted as final deliverable
10/29/2013	Incorporated comments received

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OVERVIEW

This document serves as the **Final PMO Design** deliverable for the National Capital Region (NCR) Project Management Office (PMO) Design Project under contract #14-002 effective July 8, 2013. It is comprised of three main sections:

- **Section 1: Executive Summary** – This section provides background and rationale for the project, the vision for the PMO, and key elements of the overall design. This section is intended to be read by all stakeholders involved in NCR Homeland Security.
- **Section 2: PMO Governance and Design** – This section provides a detailed description of the proposed PMO Operations, including processes and activities, position descriptions, governance model, reporting relationships, and performance measures. It is intended to be read by PMO staff members of the PMO and other key stakeholders. This section is intended to be a “living document” in that it will be updated as the governance model and PMO processes are refined, implemented, utilized, and assessed.
- **Section 3: Approach and Analysis Performed** – This section serves as background materials and documentation of the PMO Design Project. It documents the scope, purpose, and approach of the project, and summarizes the analysis performed by the project team. This section is intended to be read by PMO staff members and stakeholders who are interested in understanding the details of the project.

This document was prepared under a grant from FEMA's Grant Programs Directorate, U.S. Department of Homeland Security. Points of view or opinions expressed in this document are those of the authors and do not necessarily represent the official position or policies of FEMA's Grant Programs Directorate or the U.S. Department of Homeland Security.

Section 1 - EXECUTIVE SUMMARY

1.1. Background

The National Capital Region (NCR) Homeland Security Strategic Plan focuses on building and sustaining core emergency response and preparedness capabilities for the region. In January 2012, senior state and local leadership formally instituted a Management Review framework designed to refine strategic priorities, define concrete outcomes, establish metrics, streamline decision-making, and improve oversight of homeland security initiatives in the NCR, including those funded by FEMA UASI Grants. In addition, in February 2013 the SPG and CAOs agreed to pilot a new "Advisory Board" and supporting staff team to analyze UASI grant proposals and make recommendations to the SPG and CAOs. These changes provided increased visibility into specific projects and streamlined some elements of the decision-making process.

1.2. Purpose

To build upon the change initiatives from 2012 and early 2013, the SPG and CAOs launched a project in July 2013 to design and develop a Program Management Office (PMO) for NCR. A new PMO, comprised of dedicated, full-time staffing resources, will allow better management and oversight of the implementation of the NCR Homeland Security Strategic Plan. In addition, a new PMO will provide the following benefits to the region:

- The UASI grant process will be efficient, effective, and clearly communicated.
- SPG/CAO-HSEC members will have accurate, relevant, concise and consolidated information to make timely and informed decisions.
- Decisions will be based on NCR regional homeland security priorities.
- Progress and results will be measured and conveyed in a meaningful way.
- Committees and working groups' efforts will be integrated and coordinated, and meetings will be designed to identify and resolve issues, and make key decisions in a timely fashion.
- Projects and programs will be evaluated based on results and outcomes.
- Projects will be executed using project management standards and processes.

1.3. Approach

During the Analysis and Alignment phase, the PMO Design Project Team developed a work plan, conducted numerous interviews (please see APPENDIX A: Stakeholder Interview List), performed industry research and options analysis, and established a shared perspective and shared intent of key stakeholders. Based on the information gathered during the first phase, the project team created a series of draft documents, focusing on the most important key decisions, including the overall scope and purpose of the PMO, where the PMO would be housed, the size of the PMO, the functions it would perform, and the overall governance structure. Upon agreement on several key decisions, the team prepared final documentation for distribution and review, including a Final PMO Design Document, Position Descriptions, and a Governance Model.

1.4. Summary of Key Decisions

Key stakeholders involved in the process agreed to the following decisions:

- The PMO will focus on strategy, program management, and some project management.
- PMO will report administratively to MWCOG and operationally to the SPG/CAO-HSEC.
- A new Steering Committee will be chartered that will provide day-to-day direction to the PMO.
- The current Advisory Board will be replaced with a Technical Advisory Committee comprised of the chairs of six to seven RESFs.
- The PMO will be led by a Director and Deputy Director, and will have approximately 8-10 full-time, dedicated resources.
- The PMO will be housed at MWCOG's headquarters in Washington, DC.
- A Memorandum of Understanding (MOU) will be established between COG and the SPG/CAO-HSEC for the PMO.
- A separate MOU will be established between COG and HSEMA to finalize standard operating guidelines for managing UASI grants.
- The estimated annual cost of the PMO, excluding other direct costs such as travel and miscellaneous expenses, is approximately \$1.5 million, which is consistent with the current level of funding for staff to the SPG and CAOs.
- Funding for the PMO is expected to come from existing sources, including COG Secretariat support (UASI project funding), SPG Staff Support (UASI M&A), State Program Manager support (UASI M&A), and Regional Planning Coordinator support (UASI project funding).
- Implementation activities will begin immediately upon SPG/CAO-HSEC approval.
- The PMO will achieve "initial operating capability" once a Director has been hired, several staff members are on board, and the Charter has been finalized.

1.4.1. Type of PMO

The new entity to manage the NCR Strategic Plan will be referred to as the *NCR Homeland Security Program Management Office (NCR PMO)*, and will focus on Strategy, Program Management, and eventually some regional Project Management.

- A **Strategic** focus supports the strategic direction for the program, ensures that projects align with overall organizational strategy and objectives, and measures progress toward meeting the strategic goals.
- **Program management** entails coordination and alignment among projects, and provides project management best practices, guidance, and oversight to project managers who execute projects.
- **Direct project management** for some regional projects will provide the NCR with an objective party to coordinate and manage regional projects, as needed.

It is expected that the PMO will take on direct project management of some projects once the PMO is fully established within the first 12 months. Criteria for selecting which projects will be managed by the PMO will be determined at a later date.

1.4.2. Key Functions to Be Supported

The PMO will support the following functions related to NCR Homeland Security:

- **Strategic Planning** – The NCR Homeland Security Strategic Plan identifies the capabilities needed to strengthen the Region’s homeland security efforts and defines the framework for achieving those capabilities. It also serves as a guide in preparing the Region for all-hazards events, whether they are natural, manmade, or terrorism-related; and aligns with local, state, and federal homeland security planning activities. The PMO will support the SPG/CAO-HSEC in its responsibility for revising, updating, and maintaining the Strategic Plan.
- **Governance** – Program governance will be achieved through the actions of the SPG/CAO-HSEC and the newly formed Steering Committee. These two groups will ensure that the projects and initiatives align with the NCR’s strategic goals, approve operating charters, define success criteria, and authorize funding. A governance plan provides additional details on roles and responsibilities, decision-making accountability and authority, planned governance meetings, and issue escalation process.
- **Program Management** – The Program Management function serves to align projects and initiatives across NCR in order to achieve the goals and objectives of the Strategic Plan. It includes supporting project selection, project changes, and overall program documentation.
- **Performance Measurement** – A key function of the PMO will be to measure performance of the NCR Homeland Security program relative to the goals and objectives established in the Strategic Plan. This function includes establishing targets, collecting data, analyzing the data, reporting on progress, and actively addressing any performance issues.
- **Communications and Stakeholder Management** – The communications function includes the processes required to ensure timely and appropriate generation, collection, distribution, storage, retrieval, and ultimate disposition of program information to internal and external stakeholders. Key communications will include program successes and outcomes.
- **Staff Support to Committees and Working Groups** – Staff support includes facilitation, analysis, coordination, decisions-support, and knowledge capture in support of different groups involved in NCR Homeland Security, including the EPC, SPG/CAO-HSEC, Steering Committee, Technical Advisory Committee, and the RESF/RPWGs.
- **Project Management** – This function covers the standard project management areas, to include scope, quality, schedule, budget, resources, and risk.

In addition, the PMO will work closely with the Grants Management Team, which is housed at DC HSEMA. The PMO and Grants Management Team will establish a Memorandum of Understanding (MOU) that defines joint operating procedures, reporting requirements, and decision-making processes. Currently, the Grants Team is responsible for the following grants management functions:

- Ensuring grant compliance
- Responding to audit requirements
- Serving as the primary point of contact/coordination for FEMA Grant Programs Directorate
- Managing expenditure plans and burn rates
- Loading District agency grant budgets, issue reimbursements to NCR partners
- Developing and submit District and NCR grant applications

1.4.3. Organizational Alignment of the PMO

Based on the analysis performed, key stakeholders decided that the PMO should be housed at COG. The key factors in this decision were COG's existing regional mission and high degree of perceived neutrality. NCR considered four options for where to locate the PMO: COG, the District of Columbia Homeland Security and Emergency Management Agency (HSEMA), an existing non-profit organization, or a newly established non-profit organization. In all cases, it was assumed that the PMO would report operationally to the NCR joint SPG/CAO-HSEC.

Each of these options were assessed against the following common set of criteria:

- Perception of Neutrality
- Fits within the Mission
- Existing Physical Infrastructure
- Existing Administrative Infrastructure
- Timeliness/Efficiency to Implement
- Cost of Initial Start Up
- Cost of Ongoing Operations

In addition to its existing regional mission and high degree of perceived neutrality, COG was also preferred over other options for its existing physical and administrative infrastructure that would facilitate a timely and efficient implementation. While placing the PMO in either an existing non-profit or a new non-profit would also provide a high degree of impartiality, the uncertainties associated with an existing non-profit, and the high start up costs associated with a new non-profit, made these options less appealing. For additional details on the assessment of housing options, see Section 3.4.

1.4.4. Governance Model

Another key decision in designing the PMO was the overall governance model. Following industry best practices, the PMO will report operationally to a new Steering Committee, comprised of no more than three members of the SPG/CAO-HSEC.

The Steering Committee will be a sub-set of the SPG/CAO-HSEC and will have oversight of and accountability for the PMO. The PMO Director and Deputy Director will meet with the Steering Committee members on a regular basis. In addition, the Steering Committee will brief the SPG/CAO-HSEC as needed for decision-making and information sharing.

In addition, the current Advisory Board will be replaced with a Technical Advisory Committee comprised of the chairs of six to seven RESFs. The committee will provide subject matter expertise to the PMO and represent the needs of the localities. Figure 1 shows the high-level governance model.

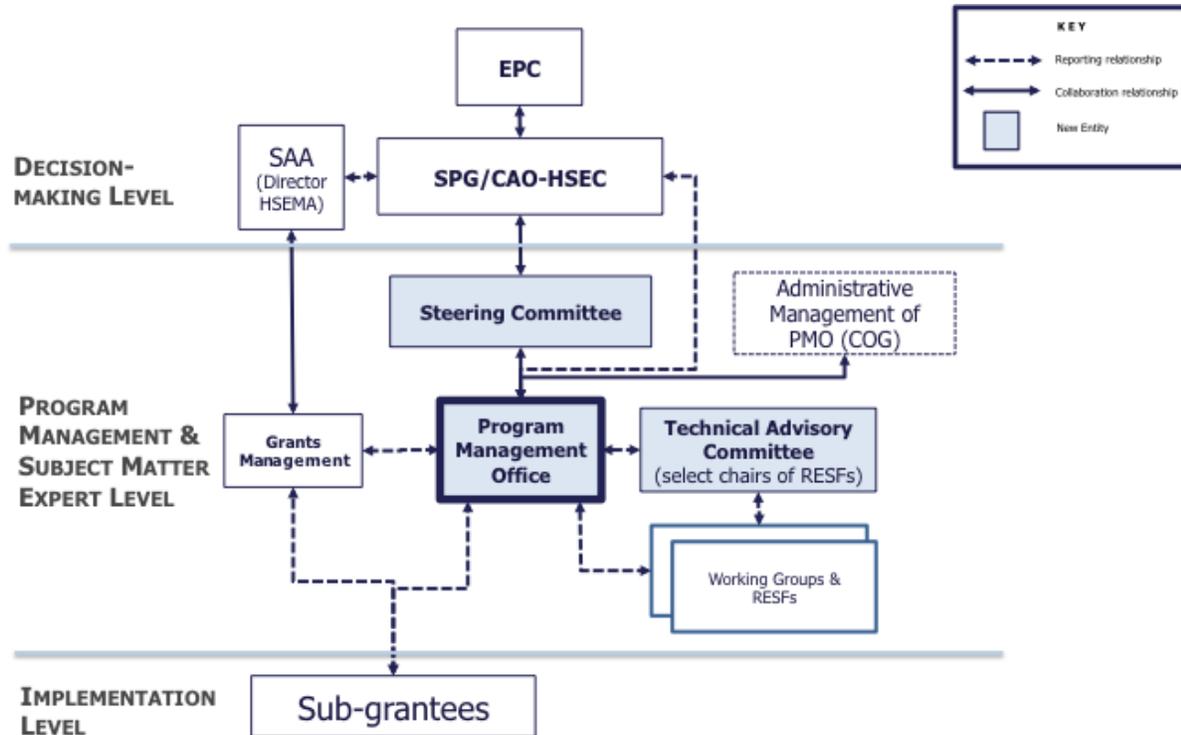


Figure 1 – PMO Governance Model

1.4.5. PMO Staffing

The PMO will be staffed by a PMO Director, Deputy Director, and an additional six to eight full-time, dedicated staff members, as shown in Figure 2.

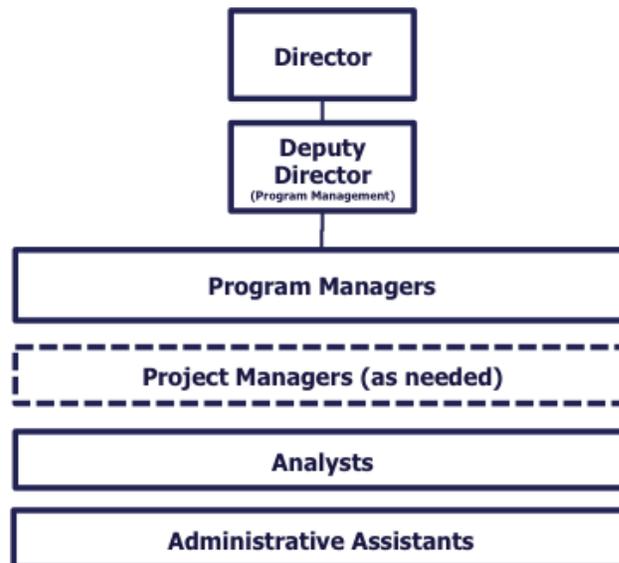


Figure 2 - PMO Staffing Model

- **Director** – The PMO Director oversees the NCR PMO and is responsible for achieving the goals identified in the NCR Strategic Plan. The PMO Director will have the following responsibilities:
 - Lead a team in managing and overseeing the National Capital Region (NCR) Homeland Security Strategic Plan.
 - Lead the selection and assessment processes for a \$50 million annual portfolio of homeland security grants under the UASI program.
 - Advise leadership and/or executives at the highest levels about the NCR UASI program portfolio status and strategic direction.
 - Coordinate with State Administrative Agency (SAA) to establish rules, governance, processes, and organizing structure for UASI in the NCR.
 - Actively engage with senior stakeholders from across the NCR, including VA, DC, and MD senior policy and emergency management officials, local Chief Administrative Officers, regional emergency management, law enforcement, and homeland security experts, and the State Administrative Agent for DHS FEMA Grants.
 - Operate in a highly complex environment with multiple stakeholders, and be expected to provide leadership to key decision makers in an impartial manner.
 - Report administratively to Senior Director, Environment, Public Safety and Health at MWCOG and report operationally to the SPG/CAO-HSEC.
- **Deputy Director** – The Deputy Director manages the PMO’s Program Managers and oversees day-to-day operations of the PMO; the Deputy Director works closely with the Grants Management Team housed in DC HSEMA.
- **Program Managers** – The Program Managers are responsible for meeting the objectives of one or more of the Strategic Plan goals, and working closely with the Grants Management Team, Technical Advisory Committee, RESFs, and RPWGs; the Program Managers work cross-functionally with each other. In addition, the duties of the current NCR Planning Coordinator will be incorporated into this role.
- **Analyst(s)** – The analyst(s) works closely with the Program Managers and conducts program analysis and reporting.
- **Administrative Assistant(s)** – The Administrative Assistant(s) performs administrative tasks to support the PMO staff, such as scheduling and meeting logistics.
- **Project Manager(s)** – A Project Manager(s) coordinates individual, regionally focused projects, works closely with Grants Management Team, Program Managers and appropriate RESFs; Project Managers will be added to the PMO as needed depending on the size and types of project the PMO leads for the region.

1.5. Estimated Costs

The estimated annual cost of the PMO, excluding other direct costs such as travel and miscellaneous expenses, is approximately \$1.5 million, which is consistent with the current level of funding for staff to the SPG and CAOs. Funding for the PMO is expected to come from several existing sources, including COG Secretariat support (UASI project funding), SPG Staff Support (UASI M&A), State Program Manager support (UASI M&A), and Regional Planning Coordinator support (UASI project funding).

1.6. Implementation Considerations

The “implementation phase” refers to the period of time during which the elements of the PMO Design are finalized and put into operation. The new PMO will require a significant change to the operations, so this period of time is crucial to ensure a seamless transition. Implementation consists of the following activities:

- Conduct Ongoing Communications
- Recruit and Select PMO Director
- Recruit and Select Staff
- Create Standard Operating Procedures
- Transition from Current Operations
- Train New Staff
- Determine required Tools and Systems
- Establish Performance Measures

Implementation activities will begin in early November 2013, immediately upon approval of the PMO Design by the SPG/CAO-HSEC. The PMO will have initial operating capabilities once the Director is hired, several staff members are on board, and the PMO Charter is approved.

The PMO will have “full operational capabilities” once all staff are on board and trained, all current NCR activities have been transitioned from other parties, Standard Operating procedures are in place and have been tested, and the governance model has been executed.

Several individuals and groups will play key roles during the implementation phase, including the following:

- SPG/CAO-HSEC – will be primarily responsible for chartering the Steering Committee, PMO, and Technical Advisory Committee. Upon its approval by the SPG/CAO-HSEC, the Steering Committee will be primarily responsible for selecting the new PMO Director and approving changes to the implementation plan and schedule.
- COG Senior Leadership – will be primarily responsible for hiring the new PMO Director supporting the establishment of MOUs, and coordinating and leading initial implementation activities until the new Director is on board.
- Current NCR Support Staff (COG, SPG Staff, SAA staff, State Program Managers, etc.) – will serve as the “implementation staff team” to execute the implementation plan and ensure ongoing activities related to the SPG, SPG/CAO-HSEC, Advisory Board, and RESFs are maintained until the PMO establishes initial operating capability.

Section 2 - PMO DESIGN AND GOVERNANCE

This section describes the purpose of the PMO, details about the type of PMO, a recommended governance model, proposed PMO functions, specific processes, staff position descriptions, performance metrics, and tools.

2.1. Purpose of the PMO

A new Program Management Office, comprised of dedicated, full-time staff, will allow the NCR to better manage and oversee the implementation of the NCR Homeland Security Strategic Plan. The PMO will support the SPG and CAO-HSEC in their governance responsibilities, evaluate the performance of the region's homeland security program, enhance management of the homeland security program, and provide decision-makers with the tools needed to make sound financial and programmatic decisions.

The goals and objectives of the PMO are as follows:

- The NCR Strategic Plan sets regional homeland security priorities for the NCR and decisions are made based upon regional priorities.
- The NCR Strategic Plan includes realistic goals within the lifespan of the plan.
- The NCR Strategic Plan is developed in a measurable way, and progress and results can be conveyed.
- The UASI grant process is efficient, effective, and clearly communicated.
- Committees and working groups' efforts are integrated and coordinated, and meetings are designed to identify and resolve issues and/or key decisions in a timely fashion.
- SPG/CAO-HSEC members have accurate, relevant, concise and consolidated information to make timely and informed decisions.
- Projects are executed using project management standards and processes.
- Projects and programs are evaluated based on results and outcomes.

2.2. Type of PMO

The new entity to manage the NCR Strategic Plan will be referred to as the *NCR Homeland Security Program Management Office (NCR PMO)*, and will focus on Strategy, Program Management, and eventually some regional Project Management.

- A **Strategic** focus supports the strategic direction for the program, ensures that projects align with overall organizational strategy and objectives, and measures progress toward meeting the strategic goals.
- **Program management** entails coordination and alignment among projects, and provides project management best practices, guidance, and oversight to project managers who execute projects.
- **Direct project management** for some regional projects will provide the NCR with an objective party to coordinate and manage regional projects, as needed.

It is expected that the PMO will take on direct project management of some projects once the PMO is fully established within the first 12 months. Criteria for selecting which projects will be managed by the PMO will be determined at a later date.

2.3. NCR Homeland Security Governance Model

Program governance will be achieved through the actions of the existing SPG/CAO-HSEC, which will serve as a review and decision-making body for NCR Homeland Security. This group, working closely with the SAA, will be responsible for developing, managing, and implementing the NCR Homeland Security Strategic Plan.

As shown in Figure 3 the proposed governance model includes the EPC, SAA, and SPG/CAO-HSEC at the decision-making level; the Steering Committee, PMO, Grants Management Team, Technical Advisory Board, and RESF/RPWGs at the program management and subject matter expert level; and the Sub-grantees at the project implementation level.

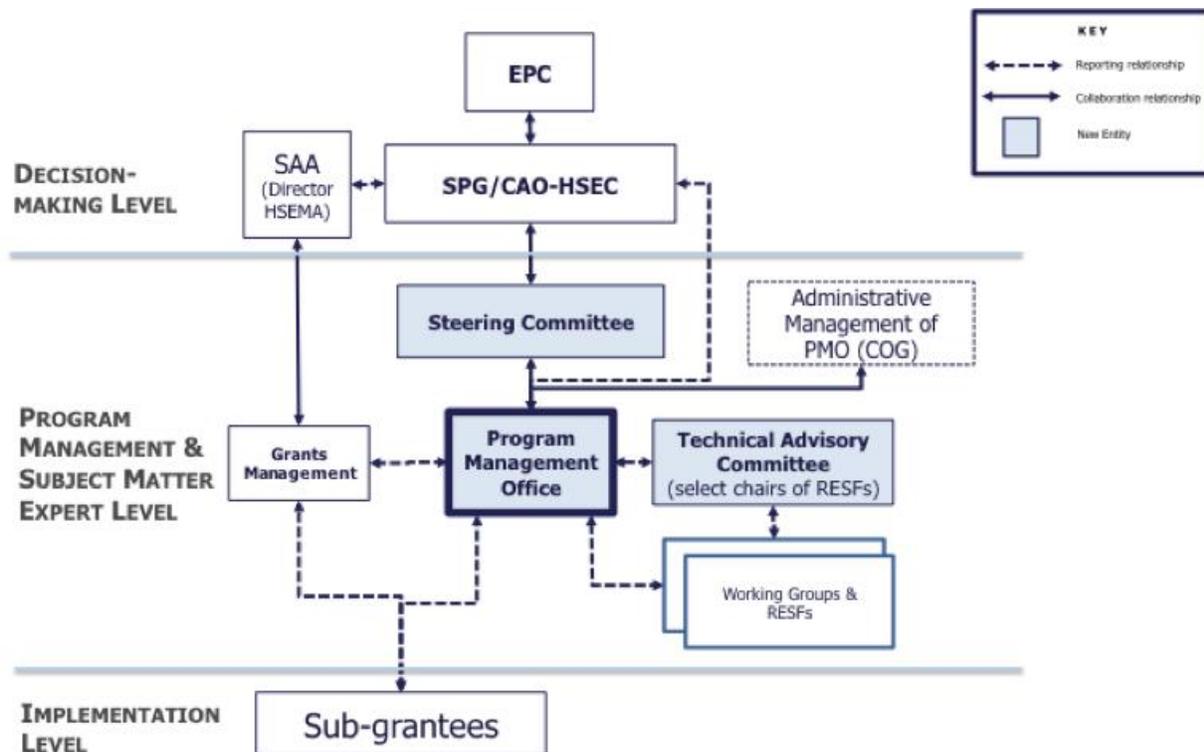


Figure 3 - PMO Governance Model

2.3.1. Emergency Preparedness Council (EPC)

The EPC serves as the federally required Urban Area Working Group (UAWG) with oversight responsibility for the UASI process in partnership with the SPG. The EPC is an advisory body that provides oversight regarding the implementation of the Regional Emergency Coordination Plan (RECP) and the NCR Homeland Security Strategic Plan to identify and address gaps in readiness of the NCR.

2.3.2. Joint SPG/CAO-HSEC

The SPG provides continuing policy and executive-level focus to the NCR's homeland security concerns. Membership consists of senior officials from Maryland, Virginia, District of Columbia, and DHS/FEMA's Office of National Capital Region Coordination (NCRC). The SPG works jointly with the eight-member CAO Homeland Security Executive Committee (CAO-HSEC) to develop and oversee the NCR Homeland Security Strategic Plan, including providing direction to the RESFs and RPWGs. The SPG/CAO-HSEC reports to the EPC, interacts closely with the SAA, and provides oversight to the NCR Homeland Security Steering Committee and the PMO.

2.3.3. SAA

The SAA is the only entity eligible to apply to FEMA for and distribute UASI Funds. SAA oversees the management of the UASI grant by distributing and monitoring the funding in accordance with FEMA requirements. The SAA is accountable to FEMA for responsible distribution of UASI Funds and oversees the Grants Management Team that operationally manages the UASI grant. The SAA works closely with the SPG/CAO-HSEC.

2.3.4. Steering Committee

The Steering Committee is a new group to the NCR. It will be a sub-set of the SPG/CAO-HSEC, and will be comprised of no more than three members. The Steering Committee will provide director oversight of and accountability for the PMO on behalf of the SPG/CAO-HSEC. The PMO Director and Deputy Director will meet with the Steering Committee members on a regular basis. In addition, the Steering Committee will brief the SPG/CAO-HSEC as needed for decision-making and information sharing.

2.3.5. PMO

The PMO will be a new group to the NCR and will serve as the central organization that will manage and implement the NCR Homeland Security Strategic Plan. The PMO will be comprised of eight to 10 staff members and will be accountable to the Steering Committee, who will provide day-to-day direction to the PMO and assess the PMO's performance and effectiveness. The PMO will report to a member of the MWCOC leadership team, who will be responsible for providing required administrative, logistical, human resources, and infrastructure support to the PMO staff. The PMO will interact regularly with the Grants Management Team via an established Memorandum of Understanding (MOU). In addition, the PMO will also interact with and receive input from the Technical Advisory Committee and the RESFs and RPWGs.

2.3.6. Technical Advisory Committee

The Technical Advisory Committee will be a new group to the NCR and will be comprised of five to six Chairs from the RESFs and RPWGs. This committee will work closely with the PMO to provide subject matter expertise, help prioritize projects, and inform decision-making.

2.3.7. Working Groups (RESFs and RPWGs)

There are 16 RESFs that provide the structure for coordinating regional inter-agency support for preparedness, response, and recovery from an incident. The RESFs are modeled after the functional structure of FEMA's Federal Response Framework. The four RPWGs provide the structure for coordinating across multiple RESFs, and include: Exercise and Training Operations

Panel (ETOP), Health and Medical (H&M), Critical Infrastructure Protection (CIP), and Interoperability. These groups represent the needs of the localities.

2.3.8. Grants Management

The Grants Management Team provides financial management, grants management, and project management support for UASI Grants, and reports to the State Administrative Agent (SAA) and is housed at DC HSEMA. The Grants Management Team will work closely with the PMO to inform project performance through an established MOU.

2.3.9. Sub-Grantees

The Sub-grantees are recipients of UASI Grant Funds and will have direct communication with the Grants Management Team, RESFs/RPWGs, and the PMO. The Sub-grantees are ultimately accountable to SAA because they receive the UASI Grant Funds, and will provide the PMO the necessary project information to report on performance and Strategic Plan objectives.

2.4. PMO Staffing

The PMO will initially be comprised of eight to 10 full-time staff members, which include a Director, Deputy Director, four Program Managers, Analyst(s), Administrative Assistant(s), and eventually Project Managers depending on when the PMO manages regionally focused projects and the magnitude of these projects. The organizational structure of the PMO was devised based on the functions performed and the structure of the NCR Strategic Plan. Since the PMO will perform activities related to strategy, program management, and project management, the staff will need to be large enough to support this level of effort. The organizational structure is depicted in Figure 4.

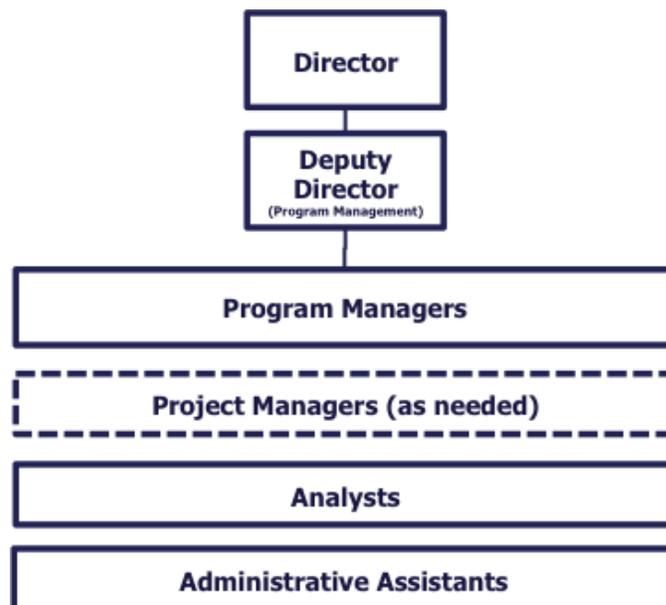


Figure 4 - PMO Organizational Structure

2.4.1. Director

The PMO Director will manage the achievement of the goals identified in the NCR Homeland Security Strategic Plan. The PMO Director will be responsible for ensuring effective, results-focused operations of the PMO, will directly be accountable for oversee PMO staff, and will manage NCR-wide stakeholder coordination and engagement. The PMO Director will operationally report to the Steering Committee and administratively report to a member of MWCOG. See Appendix B for the complete Director profile.

Work activities:

- 1) Manage the implementation and resourcing of the NCR Program Management Office, directing the design and/or procurement of PMO processes, tools, and resources.
- 2) Oversee the implementation of and updates to the NCR Homeland Security Strategic Plan, with the guidance of the NCR SPG/CAO HSEC.
- 3) Lead the selection and assessment processes for a \$50 million annual portfolio of homeland security grants under the UASI program: serve and support the SPG/CAO HSEC in UASI governance and decision-making; and provide guidance and facilitation to the SPG/CAO HSEC to set priorities and evaluation criteria for UASI project selection and funding of projects in alignment with the Strategic Plan.
- 4) Advise leadership and/or executives at the highest levels about the NCR UASI grants portfolio status and strategic direction – ensuring projects and programs align with NCR homeland security regional needs.
- 5) Coordinate with the State Administrative Agent (SAA) within the DC Homeland Security and Emergency Management Agency (HSEMA) to establish rules, governance, processes, and organizing structure for UASI in the NCR.
- 6) Work closely with the SAA to ensure UASI program success: activities include coordinating with the SAA to ensure criteria for and selection of projects aligns with the NCR Strategic Plan; providing guidance to sub-grantees related to project execution and management; and working with SAA, sub-grantees and COG on required documentation and performance reports to communicate project outcomes and achievement of goals/initiatives in the NCR Strategic Plan.
- 7) Measure effectiveness of projects/programs in furthering NCR homeland security.
- 8) Facilitate improvements (as needed) to the NCR UASI process, tools and organizing structure.
- 9) Operate in a highly complex environment with multiple stakeholders, and be expected to provide leadership to key decision makers in an impartial manner.
- 10) Actively manage relationships and engage with stakeholders from across the NCR, including VA, DC, and MD senior policy and emergency management officials; local Chief Administrative Officers; regional emergency management and law enforcement personnel; homeland security experts; the SAA and SAA personnel; regional planning staff; RESF committee and regional working group members; and COG staff and leadership.

- 11) Effectively oversee PMO staff, including a team of program managers whose responsibilities will include project management and oversight, as required, for select NCR Homeland Security projects.

2.4.2. Deputy Director

The Deputy Director will report to the Director and will be responsible for day-to-day operations of the PMO. The Deputy Director will be the lead point of contact to manage the relationship with the Grants Management Team to ensure effective communication between the two entities. The Deputy Director will also support the Director in stakeholder management and leadership communications. See Appendix C for more details on the PMO staff descriptions.

Work Activities

- 1) Provide day-to-day direction to Program Managers, Project Managers, and Analysts of the PMO
- 2) In conjunction with the Director, work closely with the SAA to ensure UASI program success
- 3) In conjunction with the Director, actively engage with senior stakeholders from across the NCR, including VA, DC, and MD senior policy and emergency management officials, local Chief Administrative Officers, regional emergency management, law enforcement, and homeland security experts, and the State Administrative Agent for DHS FEMA Grants

2.4.3. Program Managers

There will be up to four Program Managers in the PMO at the initial set-up, and each will be aligned with the objectives for one or more of the four goals of the NCR Strategic Plan. As the Strategic Plan is revised or recreated over time, and the number of goals changes, the staff responsibilities will be assessed depending on workload and complexity.

The Program Managers report directly to the Deputy Director and work closely with the PMO analyst(s), the Grants Management Team, the Technical Advisory Committee, the RESFs and RPWGs, and the Sub-grantees. Each of these entities holds the necessary information for the Program Managers to effectively manage the goals of NCR Strategic Plan and ensure program effectiveness.

Work Activities

- 1) Achieves operational objectives by contributing information and recommendations to NCR Strategic Plan
- 2) Work closely with RESFs and RPWGs to prepare and complete action plans connected to the NCR Homeland Security Strategic Plan
- 3) Track NCR projects against goals and action plans under the NCR Strategic Plan; collect and analyze project data working closely with sub-grantees and SAA
- 4) Conduct regular meetings with RESFs and RPWGs to review project progress, policies and procedures, and to gather and disseminate corporate matters.
- 5) Work with the Deputy Director to identify and assemble the appropriate resources to meet project needs and requirements
- 6) Lead cross-functional efforts to improve overall efficiency of the organization with high visibility to leadership team and problem and conflict solving abilities, influencing people across organization and levels

- 7) Ensure productivity, quality, and customer-service standards; resolve problems; complete audits; identify trends; determine system improvements; implement change

2.4.4. Analyst(s)

The PMO will have an analyst or several analysts (depending on the work demands) to support the Program Managers in collecting and analyzing programmatic data. The Analyst will report to the Deputy Director since it will be a shared resource amongst each of the Program Managers.

Work Activities

- 1) Supports the Program Managers with analysis of NCR project effectiveness
- 2) Supports Program Managers with communications and reporting both to sub-grantees and leadership teams
- 3) Performs coordination tasks such as meeting preparation, meeting logistics, and meeting follow-up
- 4) Plans and coordinates project scheduling, budgeting, and administrative tasks

2.4.5. Project Manager

The PMO will eventually include a Project Manager or several Project Managers (depending on the work demands) to manage regionally focused projects. These will be projects that cross over two or more jurisdictions and whose results will directly impact the overall region. The PMO may also take on projects that jurisdictions may not have the capacity to oversee. Since this role will be solely focused on project execution, the Project Manager will interact with the Grants Management Team as well as the PMO and Analyst and applicable Program Manager for reporting purposes.

Work Activities

- 1) Responsible for the planning, coordination, implementation, execution, control, and completion of specific NCR projects
- 2) Interface with team members, stakeholders, and management to anticipate and manage changes to projects, including, technical requirements, business requirements, and schedules
- 3) Define of project scope, goals and deliverables
- 4) Define project tasks and resource requirements; develop full scale project plans
- 5) Oversee procurement required for project
- 6) Gather and analyze project performance data for briefings to senior management
- 7) Work closely with Program Manager, Analyst, RESFs, RPWGs, and SAA

2.4.6. Administrative Assistant

The PMO Administrative Assistant will provide administrative and clerical support to the PMO staff to ensure the PMO operates smoothly and cohesively. The Administrative Assistant will be involved in scheduling, meeting logistics support, and other administrative functions. The Administrative Assistant will report directly to the PMO Director and will work closely with MWCOG to ensure seamless administrative support.

2.5. PMO Functions

The PMO will perform the functions shown in [Table 1](#).

Table 1 - PMO Functions

PMO Staff Functions	Description
Strategic Planning	The National Capital Region’s (NCR) Homeland Security Strategic Plan identifies the capabilities needed to strengthen the Region’s homeland security efforts and defines the framework for achieving those capabilities. It also serves as a guide in preparing the Region for all-hazards events, whether they are natural, manmade, or terrorism-related; and aligns with local, state, and federal homeland security planning activities. The PMO will support the SPG and CAOs in their responsibility for revising, updating, and maintaining the Strategic Plan.
Governance	Program governance will be achieved through the actions of the SPG/CAO-HSEC and the newly formed Steering Committee. These two groups will ensure that the projects and initiatives align with the NCR’s strategic goals, approve operating charters, define success criteria, and authorize funding. A governance plan provides additional details on roles and responsibilities, decision-making accountability and authority, planned governance meetings, and issue escalation process.
Program Management	The Program Management function serves to align projects and initiatives across NCR in order to achieve the goals and objectives of the Strategic Plan. It includes supporting project selection, project changes, and overall program documentation.
Performance Measurement	A key function of the PMO will be to measure performance of the NCR Homeland Security program relative to the goals and objectives established in the Strategic Plan. This function includes establishing targets, collecting data, analyzing the data, reporting on progress, and actively addressing any performance issues.
Communications and Stakeholder Management	The communications function includes the processes required to ensure timely and appropriate generation, collection, distribution, storage, retrieval, and ultimate disposition of program information to internal and external stakeholders. Key communications will include program successes and outcomes.
Staff Support to Committees and Groups	Staff support includes facilitation, analysis, coordination, decisions-support, and knowledge capture in support of different groups involved in NCR Homeland Security, including the EPC, SPG, SPG/CAO-HSEC, Steering Committee, Technical Advisory Committee, and the RESF/RPWGs.
Project Management	This function covers the standard project management areas, to include scope, quality, schedule, budget, resources, and risk.

2.6. PMO Processes

For each functional area described above, this section provides a description of the associated processes, activities, outputs, and related tools. Detailed procedures, templates, and tools to support each process will be provided in Standard Operating Procedures (SOPs), which will be developed during the implementation phase.

2.6.1. Strategic Planning

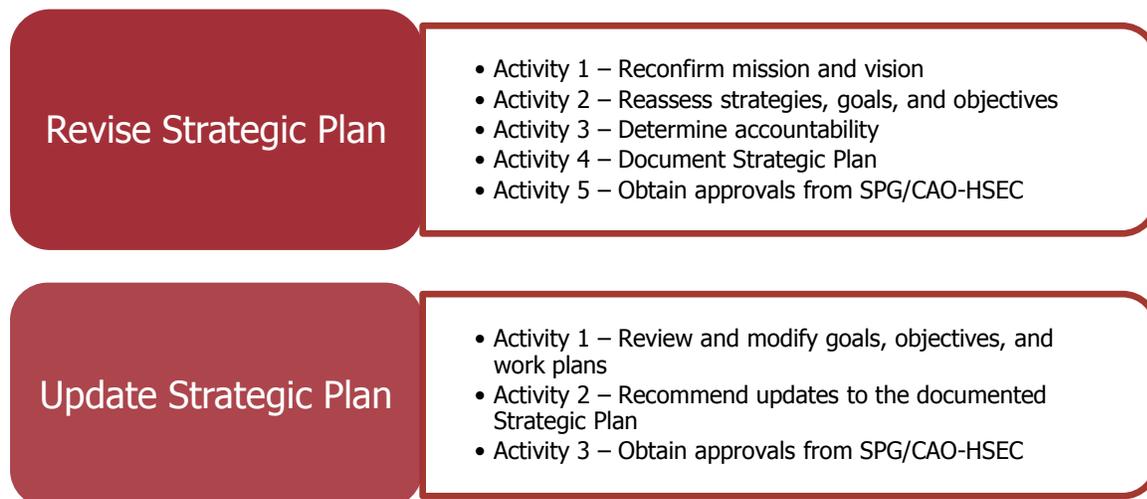
The PMO will support the SPG and CAOs in their responsibility for revising and updating the NCR Strategic Plan. The following diagram depicts the processes and corresponding activities required by the PMO to support the Strategic Planning function.

The outputs for the Strategic Planning function include:

- Revised Strategic Plan (every 5 years)
- Updated Strategic Plan (every 2 years)

The PMO's involvement in Strategic Planning will require the following tools and templates:

- Data Metrics
- Strategic Plan Template



2.6.1.1. Revise Strategic Plan

The purpose of revising a Strategic Plan for NCR Homeland Security is to outline NCR's mission, vision, and goals for the long-term and the methods that will be used to accomplish those goals. Since a Strategic Plan exists, the PMO will support the SPG/CAO-HSEC with revising the Plan every five years.

The following activities are performed for this process:

- Activity 1 – Reconfirm mission and vision
- Activity 2 – Reassess strategies, goals, and objectives

- Activity 3 – Determine accountability
- Activity 4 – Document Strategic Plan
- Activity 5 – Obtain approvals from SPG/CAO-HSEC

2.6.1.2. Update Strategic Plan

The PMO supports the SPG/CAO-HSEC in updating the NCR Strategic Plan every two years. The purpose of updating the NCR Strategic Plan is to address any priority shifts or environmental changes that may occur during the two year time period.

The following activities are performed for this process:

- Activity 1 – Review and modify goals, objectives, RESF/RPWG work plans
- Activity 2 – Recommend updates to the documented Strategic Plan
- Activity 3 – Obtain approvals from SPG/CAO-HSEC

2.6.2. Governance Function

Program governance refers to the practices, processes, and methods employed to ensure that the program is managed effectively and efficiently. An effective governance structure and set of governance functions will provide the means to identify, assess, and respond to internal and external events and changes by adjusting program components or features. Program governance addresses a number of goals:

- Enables the achievement of the strategic objectives of the PMO
- Enables the collaboration of stakeholders at the highest level of the enterprise
- Defines and implements a structure to execute program management and administration
- Provides active direction, periodically reviews interim results, and identifies and executes adjustments to ensure achievement of the planned outcome (which contributes to success of the overall business strategy)

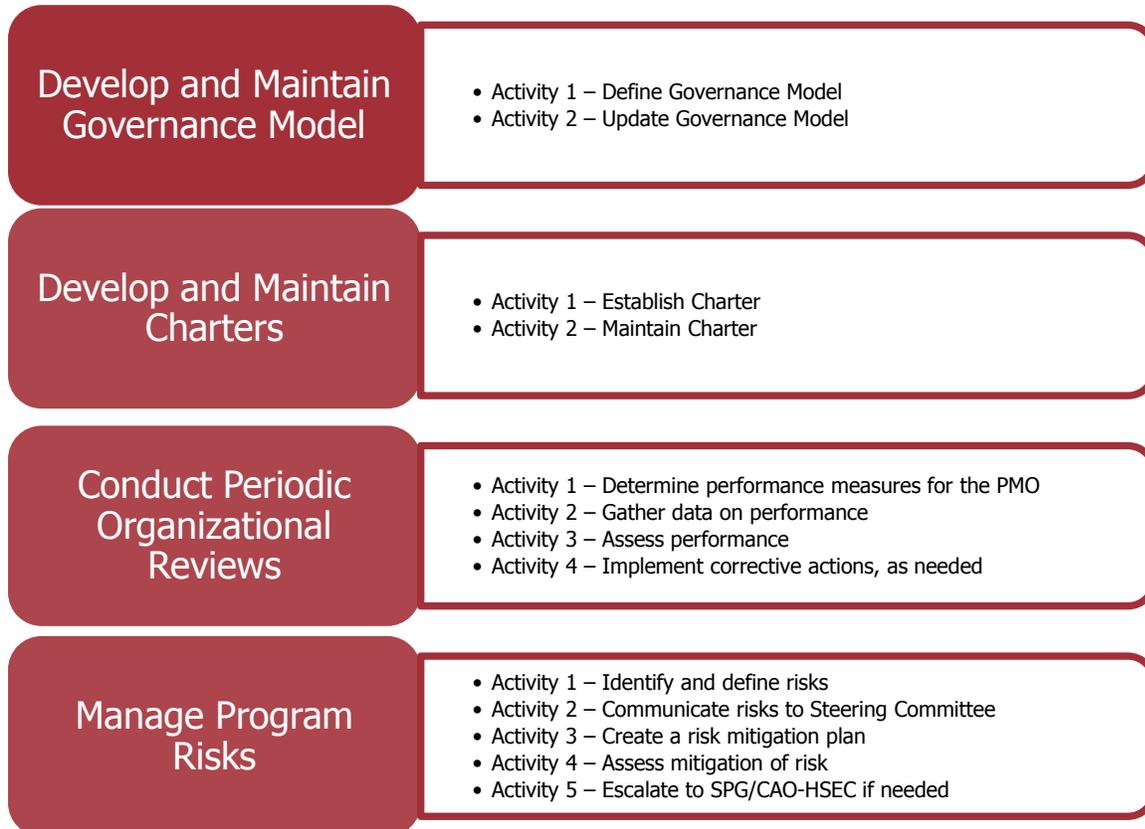
The expected outputs of the Governance function are:

- Strategic Plan and Updates
- Program Governance Model
- PMO Charter
- Organizational Assessments
- Risk Mitigation Plan

The PMO will require the following tools and templates for this function:

- Knowledge Management Tools
- Assessment metrics and criteria
- Assessment Report

The following diagram depicts the processes and required activities for the governance function fulfilled by the PMO.



2.6.2.1. Establish and Maintain Governance Model

The Governance Model describes the different groups involved in the program, the relationships between those groups, and the decision-making process involved. The Governance Model also identifies agreements that may be required between the parties.

The following activities are performed for this process:

- Activity 1 – Define Governance Model
- Activity 2 – Update Governance Model

2.6.2.2. Develop and Maintain Charters

The PMO Charter is an official document that authorizes the PMO to exist and to use resources to execute the program.

The following activities are performed for this process:

- Activity 1 – Establish Charter
- Activity 2 – Maintain Charter

2.6.2.3. Conduct Periodic Organizational Reviews

The PMO will be reviewed periodically for administrative and operational effectiveness. The primary assessors of the PMO are COG and the Steering Committee.

The following activities are performed for this process:

- Activity 1 – Determine performance measures for the PMO
- Activity 2 – Gather data on performance
- Activity 3 – Assess performance
- Activity 4 – Implement corrective actions, as needed

2.6.2.4. Manage Program Risks

There will be times that there are risks to the program that the PMO continuously manages. The governance model is established to support managing these risks. When a risk is identified and cannot be mitigated by the staff of the PMO, the Director will escalate the risk to the Steering Committee, and if necessary, the SPG/CAO-HSEC. The SPG/CAO-HSEC will help the Director determine next steps to mitigate the risk.

The following activities are performed for this process:

- Activity 1 – Identify and define risks
- Activity 2 – Communicate risks to Steering Committee
- Activity 3 – Create a risk mitigation plan
- Activity 4 – Assess mitigation of risk
- Activity 5 – Escalate to SPG/CAO-HSEC if needed

2.6.3. Program Management

A core function of the PMO is Program Management under which the PMO will manage, help to develop, and oversee the Work Plans linked to the NCR Strategic Plan. Program Management involves overseeing the many projects and moving parts of the NCR Homeland Security program.

The expected outputs of the Program Management function are:

- Work Plans
- New Projects
- New Projects under Reprogramming
- Best Practices and Lessons Learned
- Reports

The PMO will require the following tools and templates for this function:

- Work Plan template
- Reprogramming forms and templates
- RESF and RPWG update templates
- Knowledge Management Tool

The following diagram depicts the processes necessary to perform the Program Management function by the PMO:



2.6.3.1. Support Project Review and Submission

The PMO works closely with the Grants Management Team to support grants project review and submission. To understand the programmatic perspective and to ensure alignment with the NCR Strategic Plan, the PMO needs to be a part of the grant application, receipt, and decision process.

The following activities are performed for this process:

- Activity 1 – Create/update template for project management proposal submission
- Activity 2 – Establish criteria for project selection
- Activity 3 – Receive application submissions
- Activity 4 – Review and assess project applications against criteria
- Activity 5 – Provide feedback to applicant as necessary for resubmission
- Activity 6 – Recommend project for receipt of grant funds

2.6.3.2. Provide Subject Matter Expertise

The PMO provides technical, procurement, subject matter expertise, and advisory support for projects, on an as needed basis.

The following activities are performed for this process:

- Activity 1 – Establish and maintain means for projects to access support
- Activity 2 – Receive request for support from project manager
- Activity 3 – Determine best practices and lessons learned for other projects

2.6.3.3. Manage Reprogramming

During a grants cycle and NCR Strategic Plan cycle, there will typically be new projects that might need to be incorporated into the process. The PMO will manage reprogramming for NCR Homeland Security and follow the process to bring new projects into the cycle.

When a reprogramming recommendation is received externally to PMO:

- Activity 1 – Receive recommendation or provide recommendation for new project
- Activity 2 – Assess recommendation against NCR Strategic Plan goals and objectives
- Activity 3 – Present recommendation to add to the cycle if recommendation meets Strategic Plan to SPG/CAO-HSEC

When the PMO makes a reprogramming recommendation:

- Activity 4 – Make recommendation for reprogramming based on strategic need
- Activity 5 – Decide to accept or reject recommendation

2.6.3.4. Coordinate Change Management Process

The purpose of the change management process is to maintain control over the lifecycle of all changes that occur within NCR Homeland Security. In some cases, the projects being executed may result in major changes to the locality or region. The PMO is a resource to support these changes. The set of processes associated with change management serves as a framework for ensuring that the necessary changes are communicated, coordinated and executed. This process sequences steps/activities that require change management and provide a common understanding amongst stakeholders with implementing changes.

The following activities are performed for this process:

- Activity 1 – Receive change request
- Activity 2 – Evaluate and assess impact of change request
- Activity 3 – Obtain formal acceptance of the change
- Activity 4 – Communicate changes
- Activity 5 – Manage and control changes

2.6.3.5. Manage Program Documentation

The PMO manages program documentation to share perspectives, ideas, experience and information in order to ensure that they are available in the right place at the right time. This will make access to information easier and improve efficiency by reducing the need to rediscover knowledge.

The following activities are performed for this process:

- Activity 1 – Use templates for creating new documents
- Activity 2 – Save files in identified knowledge management tool using a naming convention
- Activity 3 – Provide access rights to documentation
- Activity 4 – Control versioning of documents

- Activity 5 – Conduct regular Q/A on document management

2.6.4. Performance Measurement

The PMO performs the Performance Measurement function in order to understand the effectiveness of the projects on NCR Homeland Security. This will be a key function of the PMO since it will inform future strategic decisions for the region and also provide data points and analysis for regional leaders to make decisions.

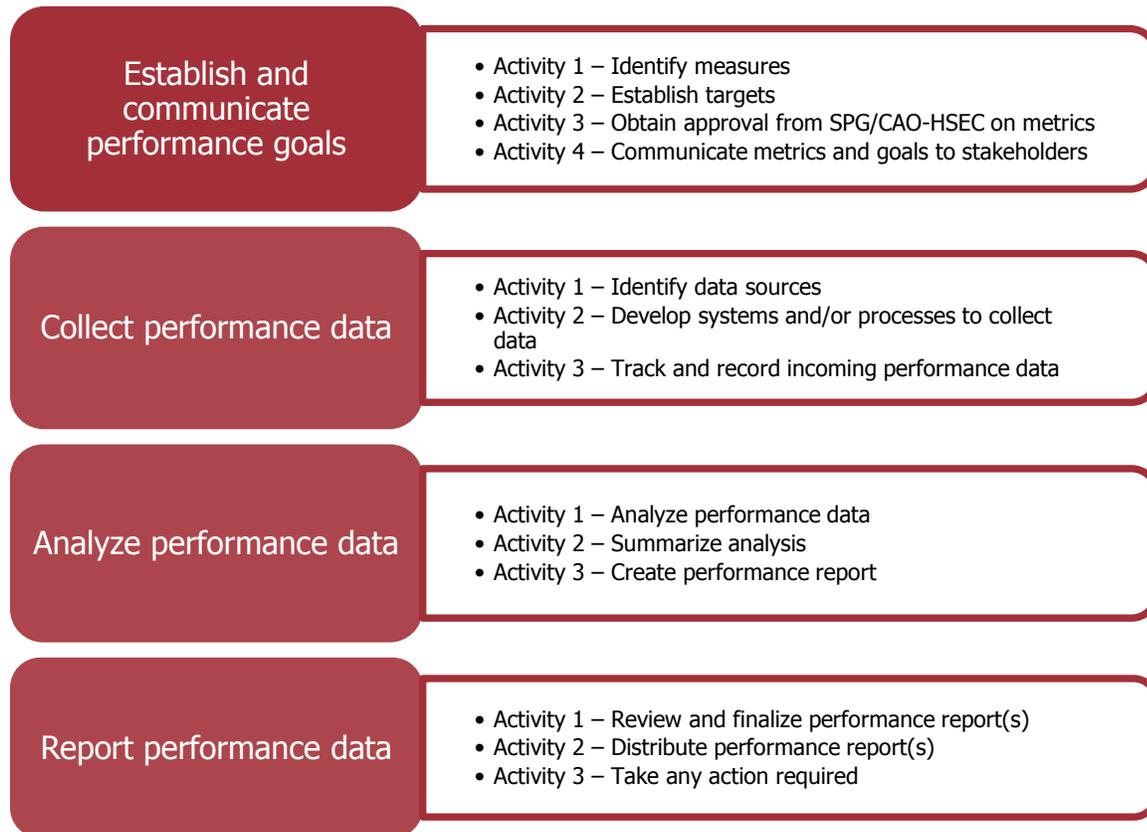
The expected output of the Performance Measurement function is:

- Performance Reports

The PMO will require the following tools and templates for this function:

- Report Metrics
- Report template

The following diagram depicts the processes required for fulfilling the Performance Measurement function by the PMO:



2.6.4.1. Establish and Communicate Performance Goals

The purpose of planning and communicating performance goals is to provide a structured approach to defining and establishing performance metrics.

The following activities are required for this process:

- Activity 1 – Identify measures

- Activity 2 – Establish targets
- Activity 3 – Obtain approval from SPG/CAO-HSEC on metrics
- Activity 4 – Communicate metrics and goals to stakeholders

2.6.4.2. Collect Performance Data

The purpose of collecting performance data is to gather inputs from the various sources that are connected to NCR Homeland Security related projects for the NCR. There are many different entities that possess valuable information for analysis of the performance of the NCR as it relates to Homeland Security. The PMO serves as the hub to collect data from all of these different resources.

The following are the activities related to this process:

- Activity 1 – Identify data sources
- Activity 2 – Develop systems and/or processes to collect data
- Activity 3 – Track and record incoming performance data

2.6.4.3. Analyze Performance Data

The purpose of analyzing performance data is for the PMO to make the data it collects meaningful and to reveal the important trends or statistics that can indicate program effectiveness or ineffectiveness.

The following are the activities related to this process:

- Activity 1 – Analyze performance data
- Activity 2 – Summarize analysis
- Activity 3 – Create performance report

2.6.4.4. Report Performance Data

The PMO reports performance data in order to provide key stakeholders and leadership with consistent, concise, and useful information of project/program performance on a regular basis and for decision-making.

The following are the activities related to this process:

- Activity 1 – Review and finalize performance report(s)
- Activity 2 – Distribute performance report(s)
- Activity 3 – Take any action required

2.6.5. Communications & Stakeholder Management

Since the PMO is in a central position in the NCR Homeland Security environment, it must manage stakeholders and the communications related to the NCR Homeland Security program. A Communications Plan is a roadmap for the PMO to execute strategic communications and manage the complex stakeholder environment of the NCR.

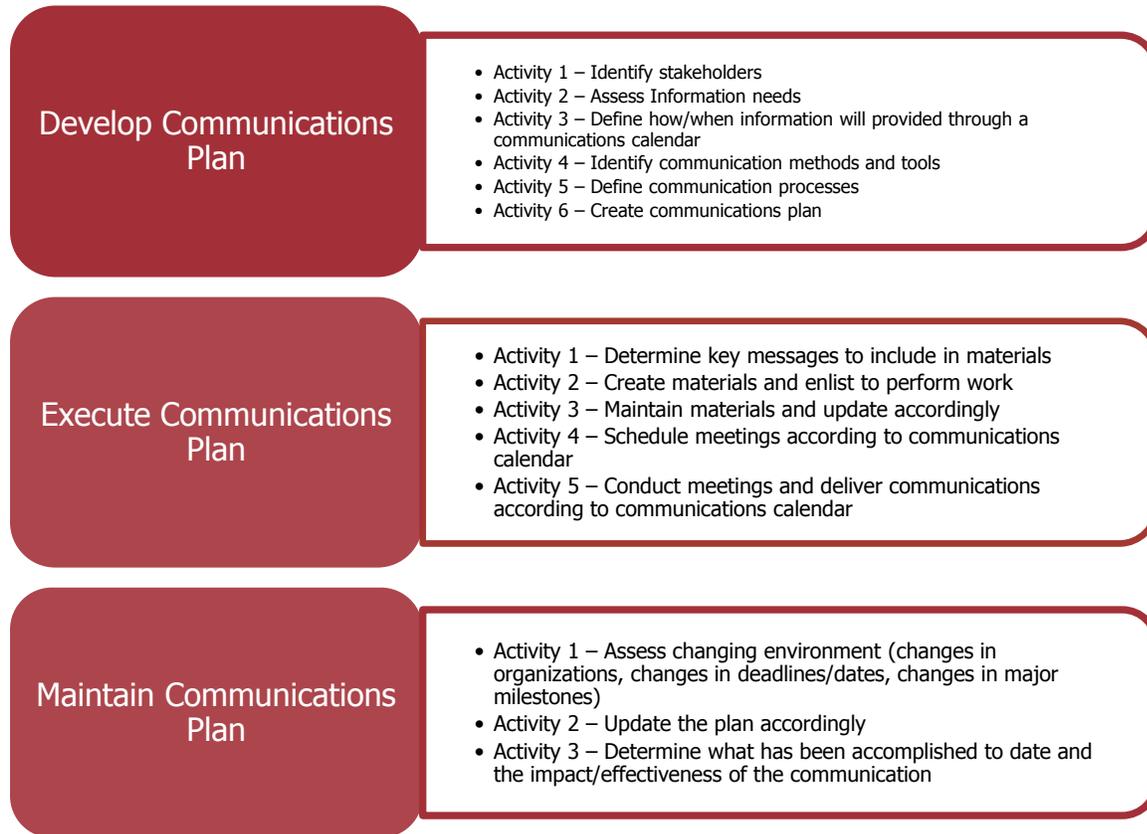
The expected outputs of the Communications & Stakeholder Management function are:

- Communications Plan
- Communications Materials and Tools

The PMO will require the following tools and templates for this function:

- Communications Plan Template

- Stakeholder Contact Information



2.6.5.1. Develop and Execute Communications Plan

The PMO requires a Communications Plan to map the key stakeholders, relevant messages, necessary communications channels, and a timeline for communications. The plan includes key milestones and events relevant to the NCR Homeland Security.

The following are the activities related to developing a Communications Plan:

- Activity 1 – Identify stakeholders
- Activity 2 – Assess Information needs
- Activity 3 – Define how/when information will provided through a communications calendar
- Activity 4 – Identify communication methods and tools
- Activity 5 – Define communication processes
- Activity 6 – Create communications plan

2.6.5.2. Maintain Communications Plan

The Communications Plan is a living document and needs to be updated as the environment and significant milestones change. As a result, the PMO maintains the communications plan and updates accordingly.

The following are the activities related to maintaining a Communications Plan:

- Activity 1 – Determine key messages to include in materials
- Activity 2 – Create materials and enlist to perform work
- Activity 3 – Maintain materials and update accordingly
- Activity 4 – Schedule meetings according to communications calendar
- Activity 5 – Conduct meetings and deliver communications according to communications calendar

2.6.5.3. Develop Materials

The Communications Plan details the means of communications, which requires the creation of collateral or other materials to communicate key messages to stakeholders. The PMO will follow a formal process for developing these materials to ensure consistency. The following are the activities related to developing materials:

- Activity 1 – Assess changing environment (changes in organizations, changes in deadlines/dates, changes in major milestones)
- Activity 2 – Update the plan accordingly
- Activity 3 – Determine what has been accomplished to date and the impact/effectiveness of the communication

2.6.6. Provide staff support to EPC, SPG, SPG/CAO-HSEC, Steering Committee, Technical Advisory Committee, and the RESF/RPWGs

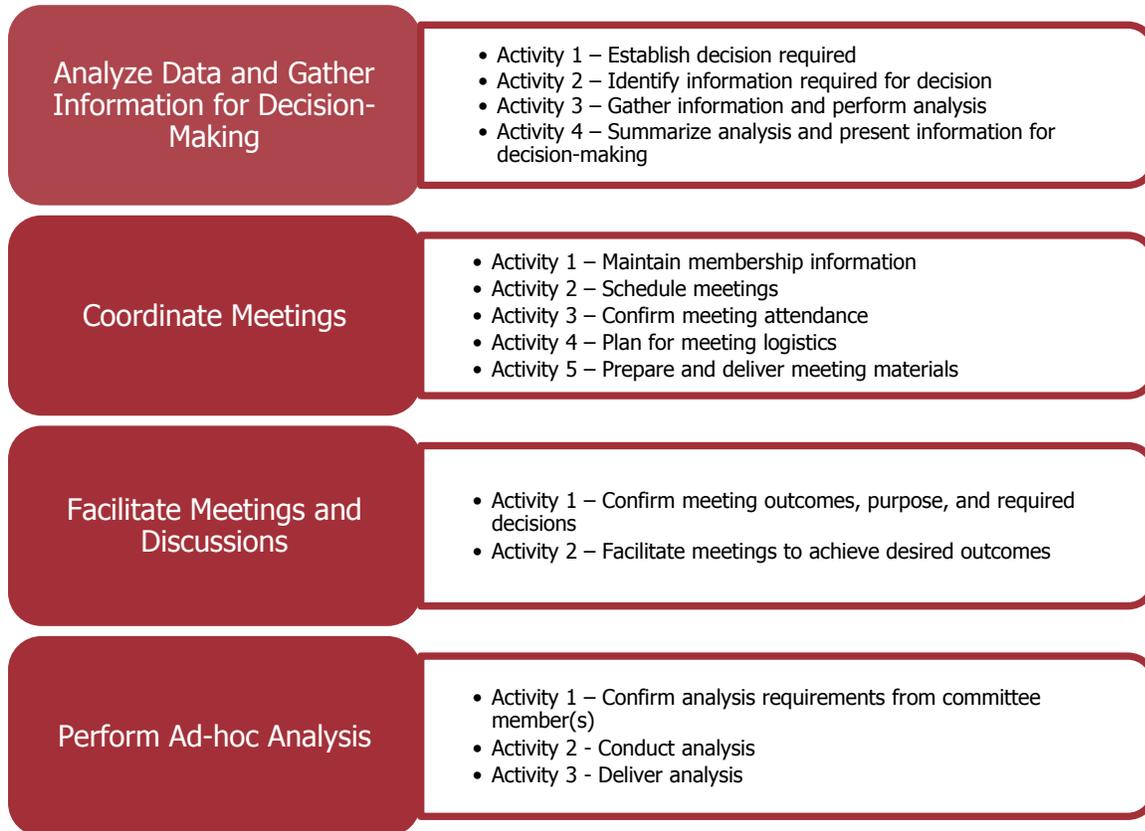
The PMO staff provides support to the committees serving NCR Homeland Security. Outputs from this process include synthesized analysis reports, meeting minutes, documented decisions from committee meetings, and ad hoc analysis reports. Templates include meeting presentation and analysis report templates. The following diagram depicts the processes and corresponding activities required to support these committees.

The expected outputs of the Staff Support function are:

- Analysis Report
- Membership List
- Meeting Materials
- Meeting Minutes and Actions
- Meeting Designs

The PMO will require the following tools and templates for this function:

- Analysis Templates
- Presentation Templates
- Invitation Templates



2.6.6.1. Analyze Data and Gather Information for Decision-Making

The committees of the NCR Homeland Security will be making important decisions related to the region and will not necessarily have the time to perform the analysis and synthesize the information as it relates to the NCR Strategic Plan. The PMO will conduct the analysis and synthesize the information so that decision-makers can make timely and informed decisions.

The following are the activities related to this process:

- Activity 1 – Establish decision required
- Activity 2 – Identify information required for decision
- Activity 3 – Gather information and perform analysis
- Activity 4 – Summarize analysis and present information for decision-making

2.6.6.2. Coordinate Meetings

Each of the committees in NCR Homeland Security will meet regularly and on an ad hoc basis. The PMO will provide meeting coordination for each of these committees to convene.

The following are the activities related to this process:

- Activity 1 – Maintain membership information
- Activity 2 – Schedule meetings
- Activity 3 – Confirm meeting attendance
- Activity 4 – Plan for meeting logistics
- Activity 5 – Prepare and deliver meeting materials

2.6.6.3. Facilitate Meetings and Discussions

During the actual meetings of the committees the PMO's role is to provide facilitation as the committee members discuss the issues and make decisions related to Homeland Security. Having a neutral party facilitate these meetings will ensure that the outcomes are met and the meetings are conducted as efficiently as possible.

The following are the activities related to this process:

- Activity 1 – Confirm meeting outcomes, purpose, and required decisions
- Activity 2 – Facilitate meetings to achieve desired outcomes

2.6.6.4. Perform Ad-hoc Analysis

Committee members may require the PMO to perform ad hoc analysis related to NCR Homeland Security. The PMO will be a resource to the committees to perform this ad hoc analysis.

The following are the activities related to this process:

- Activity 1 – Confirm analysis requirements from committee member(s)
- Activity 2 - Conduct analysis
- Activity 3 - Deliver analysis

2.6.7. Project Management

The PMO will perform project management for select, regionally focused projects. The PMO will follow standard project management procedures for achieving project objectives (schedule, budget and performance) through a series of activities.

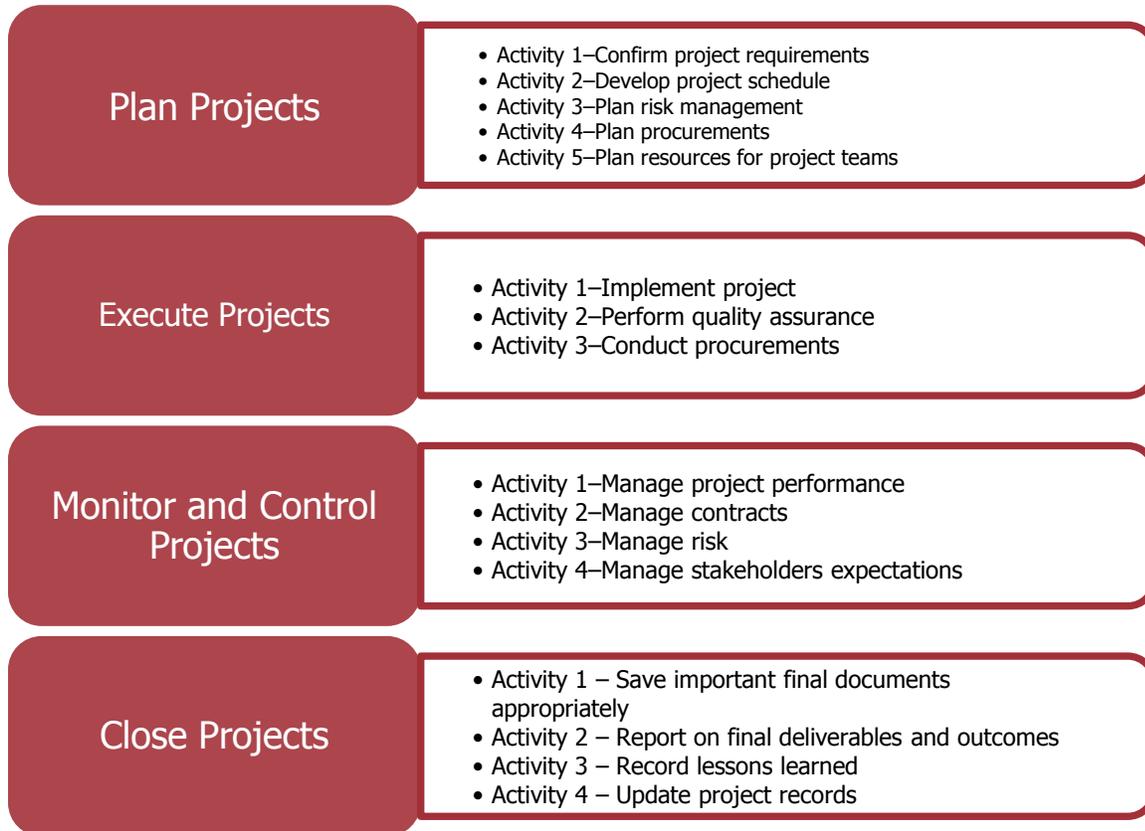
The expected outputs of the Project Management function are:

- Project Management Plan
- Risk Management Plan
- Project Deliverables
- Project Schedule
- Updated Project Files

The PMO will require the following tools and templates for this function:

- Project Management Tool
- Deliverable Templates
- Project Schedule Template
- Knowledge Management Tool

The following diagram depicts the processes needed to fulfill the project management function by the PMO:



2.6.7.1. Plan Projects

Once a project is initiated, the PMO plans out the project using the appropriate project management tools to ensure organization, milestone management, risk management, etc. The PMO uses standard project management tools for planning a project.

The following are the activities related to this process:

- Activity 1 – Confirm project requirements
- Activity 2 – Develop project schedule
- Activity 3 – Plan risk management
- Activity 4 – Plan procurements
- Activity 5 – Plan resources for project teams

2.6.7.2. Execute Projects

Once the planning of a project is complete, the PMO executes a project and completes the steps and milestones outlined in the project plan.

The following are the activities related to this process:

- Activity 1 – Implement project
- Activity 2 – Perform quality assurance
- Activity 3 – Conduct procurements

2.6.7.3. Monitor and Control Projects

As a project is executed, the PMO Project Manager monitors and controls the project, which means that the Project Manager ensures that each project deliverable achieves the desired results, in the designated period, within the designated cost, and using the specified allocated resources.

The following are the activities related to this process:

- Activity 1 – Manage project performance
- Activity 2 – Manage contracts
- Activity 3 – Manage risk
- Activity 4 – Manage stakeholders expectations

2.6.7.4. Close Projects

The purpose of the Close Projects process is to closeout all project activities once a project has reached completion and ensure all deliverables are met.

The following are the activities related to this process:

- Activity 1 – Save important final documents appropriately
- Activity 2 – Report on final deliverables and outcomes
- Activity 3 – Record lessons learned
- Activity 2 – Update project records

2.7. Tools and Technology

In order to best optimize the work undertaken by the NCR PMO, a number of management tools will be implemented. As part of the implementation process, the PMO leadership will conduct an analysis to determine which tool sets would work best for the PMO. As part of the analysis the PMO will also determine what tools might already exist within MWCOG, the PMO's housing organization, that can be leveraged to manage the PMO activities. The tools that will be implemented include the following tool types:

2.7.1. Portfolio Management

Implementing a portfolio management tool (PPM) will allow the PMO to ensure that all new and existing projects are aligned with the organizations strategic goals. A PPM will support a disciplined project selection approach and creates an objective methodology for identifying, ranking, prioritizing, and selecting new projects. Reporting will be comprehensive and will provide a single view of overall value and risk within the UASI portfolio.

2.7.2. Knowledge Management

The PMO will leverage a knowledge management tool that provides a secure place to store, organize, share, and access relevant information. The information management tool will have the functionality to manage version control and assign security access levels to documents if necessary, ensuring that sensitive information is only available to appropriate users. The tool will be a centralized spot for the PMO and other relevant stakeholders to find the information they need without having to rely on staff that might have the necessary information stored on their hard drives. An information management tool will streamline work and provide a self-service for its users.

2.7.3. Scheduling

The PMO will use a project/program scheduling tool to track milestones, activities, and deliverables for the projects it manages. The scheduling tool will allow the Program Managers to identify specific activities and milestones, determine the proper sequence of activities, identify activity durations, monitor and control dependencies, document the time required to complete each activity, assign resources to tasks, and maintain the project workload. The scheduling tool will allow for improved planning and forecasting of resource requirements and provide insight into redundant activities to improve efficiency. The scheduling tool provides the data necessary for the Program Managers to report on project process and scheduling risks.

2.7.4. Website

The PMO will develop a – or add to an existing – website that will represent the NCR Homeland Security program and serve as a centralized location to organize public facing content in an easy to find structure. There is a great deal of work being done within the NCR around homeland security and a web presence provides transparency for the program. The website will be a single repository to communicate who the partners are, what the strategic goals and objectives are, describe the programs and projects that are being developed and implemented, announce significant achievements, and provide a calendar of dates/events they might be pertinent. The website will also serve as a centralized location for partners to find information about upcoming meetings and key dates, such as proposal due dates, or mandatory reporting deadlines.

2.8. PMO Performance Measurement

The measurement of performance is a tool for both effective management and process improvement. For the NCR PMO, performance measurement will help establish and sustain credibility by conveying value provided to the NCR. The performance measurement infrastructure for the PMO includes the following criteria to ensure effectiveness:

- Clearly defined, actionable, and measurable goals
- Established baselines from which progress toward the attainment of goals can be measured
- Accurate, repeatable, and verifiable data; and
- Continuous improvement of the PMO’s processes, practices, and results

The NCR will use the following framework for measuring the performance of the PMO:

Measure	Definition	Target	Calculation	Source of Data	Frequency
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Percentage of Projects Aligned with Strategic Objectives	Measures the number of projects that are aligned with at least one strategic objective	TBD	TBD	TBD	TBD
Outcome Results	Measures how well the final projects support the NCR UASI Strategic Plan	TBD	TBD	TBD	TBD
Mission Effectiveness	Measures individual projects within the program, how effectively the completed project fulfills its intended purpose, if the program has undertaken the "right project", and if the NCR is more prepared for Homeland Security	TBD	TBD	TBD	TBD
Effectiveness of program communication	Measures the accuracy, timeliness, completeness, and understanding of the information communicated	TBD	TBD	TBD	TBD
Return on Investment (ROI)	Measures how well the PMO is managing the entire program portfolio (identify and eliminate redundancies, identify and mitigate common project mistakes, efficiently allocate resources)	TBD	TBD	TBD	TBD
Customer Satisfaction	Measures the percentage of key stakeholders satisfied with the support provided by the NCR PMO	TBD	TBD	TBD	TBD
Sub Grantees reporting compliance	Measures the percentage of Sub- grantees providing requested data and information	TBD	TBD	TBD	TBD

The NCR PMO will socialize the metrics they develop and consistently make the results visible to key stakeholders and executive leadership, specifically the SPG/CAO-HSEC. Doing so will convey the value that the PMO is adding in supporting the strategic objectives of the NCR. The PMO will develop a dashboard or balanced scorecard to efficiently track the agreed upon metrics that support the NCR's strategic plan, goals, and objectives. The scorecard will illustrate long- and

short-term metrics, communicate major issues and risks, and outline the major initiatives that to be launched.

Section 3 - APPROACH AND ANALYSIS PERFORMED

This section provides a description of the As-Is state, analysis performed on examples of PMOs and other entities, and an assessment of institutional options for housing the PMO.

3.1. Project Approach

Over a four-month period, NCR worked with a team of consultants to perform a number of activities, as shown in Figure 5.

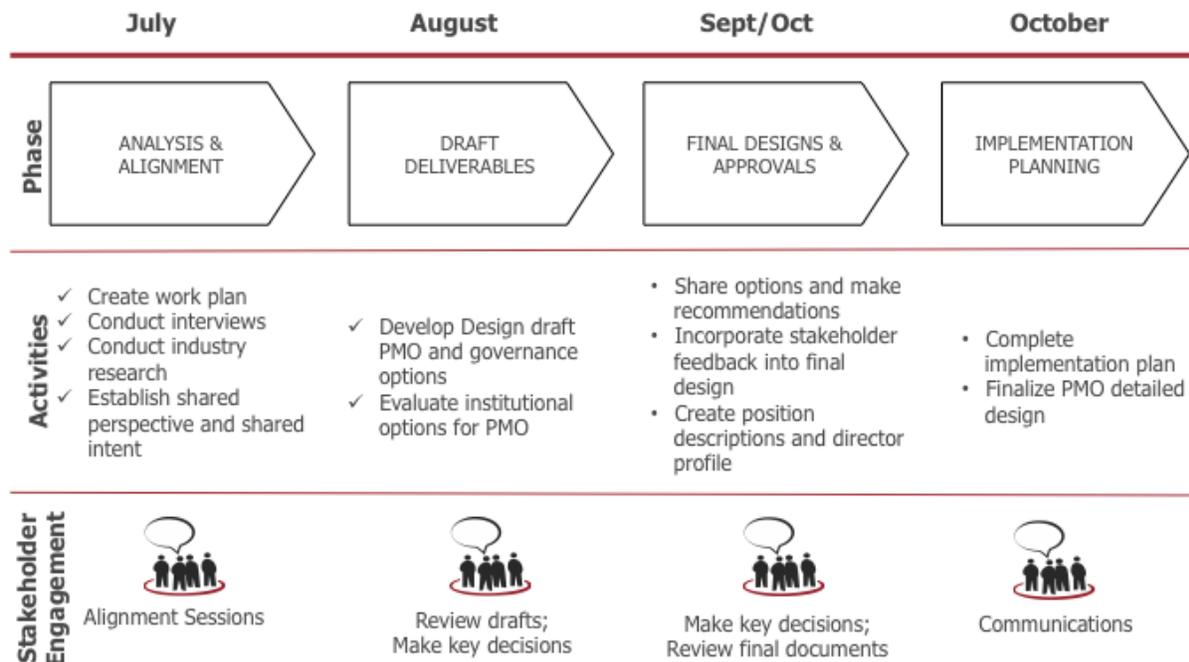


Figure 5 - PMO Design Project Approach and Timeline

3.2. Description of the Current As-Is State

3.2.1. Summary Observations

In 2010, the NCR's states and localities developed a Homeland Security Strategic Plan to build and sustain core emergency response and preparedness capabilities for the region. Since that time, the SPG and CAOs implemented a "Management Review" process to increase accountability and oversight for achievement of the NCR Homeland Security Strategic Plan, and in February/March 2013 the SPG and CAOs agreed to pilot a new approach – creating an "Advisory Board" and supporting staff team to analyze UASI grant proposals and make recommendations to the SPG and CAOs.

While NCR has seen some gains in efficiencies as a result of these changes, it still required senior management officials to engage in time-consuming analysis and did not take sufficient advantage of staff and subject matter expert capability. Other key challenges remain as follows:

- No single person/entity leads the process or is responsible for the results
- No one is looking at the big picture of the Strategic Plan, and how projects are aligned

- There is no single impartial/neutral party to coordinate decision-making
- Inconsistent assessment of project performance
- NCR is not selecting and managing projects from a strategic perspective
- Decision-making processes are inconsistent, and includes a mix of top-down (SPG/CAO-HSEC) and bottom-up (RESF and RPWG stakeholders) – with inputs from the Advisory Board
- Critical information is not always available - or not presented in the right manner - for SPG/CAO-HSEC to make informed, timely decisions
- There is limited “institutional memory” and lack of continuity
- There is limited communication across RESFs and RPWGs
- It is difficult to quantify and measure how NCR homeland security has been improved from the money spent

Currently, the NCR Homeland Security Strategic Plan is being managed and implemented by a number of operating entities and support staffs, using a variety of processes.

3.2.2. Current Governance Model

The current NCR Homeland Security Organizational Structure is comprised of the following groups and committees:

- **Emergency Preparedness Council (EPC)** – Serves as the federally required Urban Area Working Group (UAWG) with oversight responsibility for the UASI process in partnership with the SPG.
- **Senior Policy Group (SPG)** – Provides continuing policy and executive-level focus to the NCR's homeland security concerns. Membership consists of senior officials from Maryland, Virginia, District of Columbia, and DHS/FEMA's Office of National Capital Region Coordination (NCRRC).
- **Chief Administrative Officer's Committee (CAO)** – Comprised of Chief Administrative Officers, City Managers and Administrators, and the General Manager of WMATA. The CAOs provide leadership for RESFs, RPWGs and committees & address regional concerns.
- **Joint SPG/CAO-HSEC** – Is responsible for developing, managing, and implementing the NCR Homeland Security Strategic Plan, including providing direction to the RESFs and RPWGs. This group is comprised of all seven members of the SPG and 10 members of the CAO Homeland Security Executive Committee.
- **Advisory Board** – This group was created in April 2013 to review proposed projects to determine if they collectively achieve regional priority objectives. It is comprised of three representatives of the SPG, three representatives of the CAO-HSEC, and seven RESF/RPWG Chairs/designees.
- **Regional Emergency Support Functions (RESF) and Regional Program Work Groups (RPWG)** – The 16 RESFs provide the structure for coordinating regional inter-agency support for preparedness, response, and recovery from an incident. The RESFs are modeled after the functional structure of FEMA's Federal Response Framework. The

four RPWGs provide the structure for coordinating across multiple RESFs, and include: Exercise and Training Operations Panel (ETOP), Health and Medical (H&M), Critical Infrastructure Protection (CIP), and Interoperability.

- **State Administrative Agent (SAA)** – The DC HSEMA serves as the SAA for the NCR, and is responsible for managing and administering the Homeland Security Grant Program that is awarded by FEMA to the region.

The current “operating model” is shown below in **Figure 6**. This model was based on interviews, discussions, and feedback from key stakeholders.

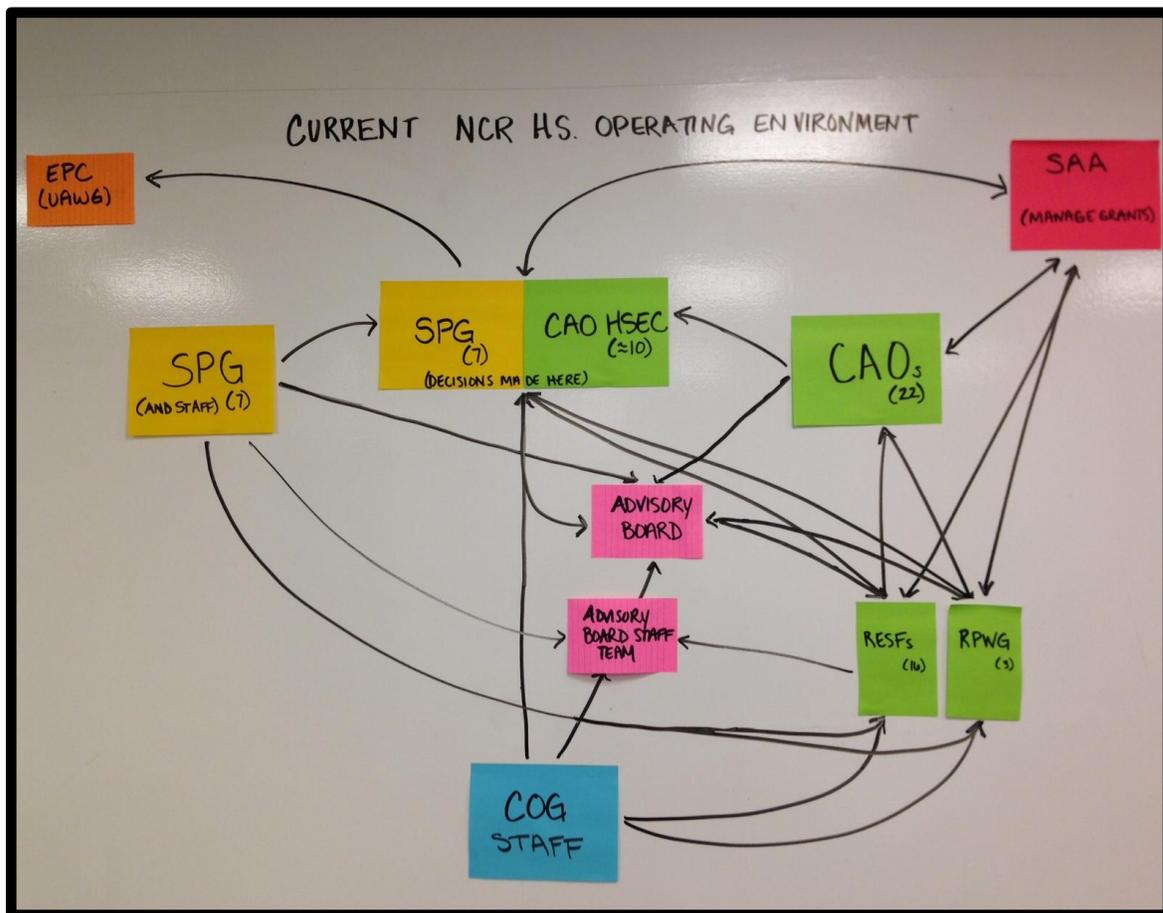


Figure 6 - AS-IS Operating Model

3.2.3. Current Functions Performed

During the stakeholder interviews, stakeholders identified nine discreet functions that are currently carried out as part of the NCR UASI process, as shown in **Figure 7**. During the first stakeholder alignment meeting on July 23, 2013, the group discussed the functions and noted the groups responsible for each function.

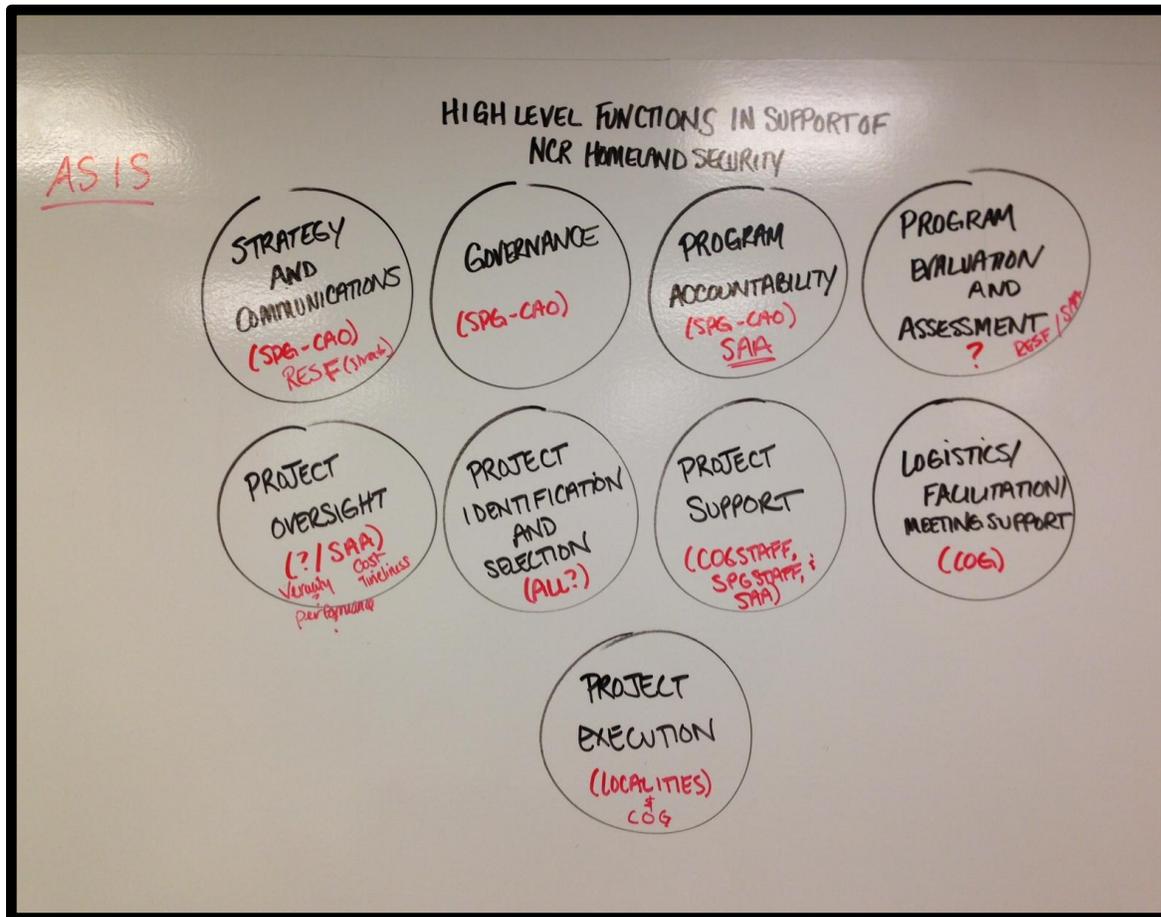


Figure 7 - Current High Level Functions

The list below elaborates on each function and describes the groups responsible for carrying out the functions.

- **Strategy and Communications:** SPG/CAO-HSEC manages the Strategic Plan and RESFs support execution; COG staff provides some communication and knowledge management support.
- **Governance:** SPG/CAO-HSEC provides support for governance and decision-making (rules, brokering, etc.) for NCR UASI-funded projects
- **Program Accountability:** SPG/CAO-HSEC monitors overall distribution and execution of UASI funding across the NCR; SAA monitors grants policy and spending compliance.
- **Program Evaluation and Assessment:** SAA currently monitors cost and schedule; sub-grantees within RESFs and localities are responsible at the project level for reporting and grants compliance.
- **Project Oversight:** Projects are managed within the jurisdictions; SAA currently provides oversight for cost, schedule, and grants compliance.
- **Project Identification and Selection:** Projects are identified at the RESF, RPWG and jurisdictional levels; prospective sub-grantees work with the SAA to complete grant applications; projects are then proposed to the SPG/CAO-HSEC for funding approval.

- **Project Support:** Project support is provided primarily by SAA staff in areas related to grant applications, project documentation, and expense reimbursements; SPG staff, State Program Managers, and Regional Planning staff also provide project-related support to RESF, RPWG, and SPG/CAO-HSEC groups.
- **Logistics, Facilitation and Meeting Support:** COG staff provides logistics, facilitation and meeting support to RESFs, RPWGs, SPG/CAO-HSEC, and EPC groups, including stakeholder coordination, meeting scheduling and planning, meeting facilitation, catering support, note-taking and after-action follow-up.
- **Project Execution:** Projects are executed by the localities (sub-grantees); SAA has project management officers who work with regional leads for each sub-grant; COG staff also support execution of a number of projects.

3.2.4. Current Staff Support for NCR Homeland Security

There are a number of different entities currently providing staff support to the NCR Homeland Security process.

- **COG** – Approximately 10 staff members (5 FTE) from COG provide part-time support to the NCR Homeland Security process, to include support for the RESFs and RPWGs, support for the SPG/CAO-HSEC committee, oversight for some NCR projects, and ad-hoc analysis. This staff support is currently funded by a UASI sub-grant to COG for “secretarial support.” COG’s expenses are reimbursed at rate of 2.1 times actual salaries (28% fringe + 25% M&A + 31% indirect).
- **SPG Staff** – Currently there are two full-time staff positions supporting the SPG – the Chief of Staff and Senior Policy Analyst. This support is provided through a Memorandum of Understanding (MOU) with the University of Maryland, and is funded by the UASI 5% M&A allocation. SPG Staff expenses are reimbursed at a rate of 1.5 times actual salaries (25% fringe + 26% overhead). University of Maryland overhead is based on off-campus office location and does not include rent, equipment, and operations & maintenance. They perform the following activities:
 - Support the achievement of the NCR vision, mission, strategic goals and objectives
 - Coordinate with the SPG members to ensure that projects and tasks meet collective state and/or regional strategic goals and objectives
 - Provide legal and policy analysis of issues pertaining to the NCR, homeland security, or grant funding
 - Provide legislative updates on the progress and status of congressional legislation and issues pertaining to the NCR, homeland security, and grant funding
 - Track, analyze, and research relevant reports
 - Support the development of the annual work plan and assist in developing funding timelines
 - Develop a virtual resource center that can be made available to all SPG members and staff
 - Oversee any special projects that support the SPG’s work

- **State Program Managers** – Three State Program Managers (VA, DC, and Maryland) support the SPG in a number of areas, including participating in committee meetings, participation in RESF and RPWG meetings, conducting background research, providing ongoing policy analysis and support, grant support, and other projects as needed. They are reimbursed at a fixed rate of \$125,000 per person, which is funded by the UASI 5% M&A allocation.
- **Regional Planner Coordinator** – The Regional Planner Coordinator is funded through a UASI sub-grant for regional planning. Current fiscal year funding is \$148,365. This individual performs the following functions:
 - Establish milestones for assessing each functional area and confirm those with the SPG
 - Review COG report on options for winding down the health planners grant and transitioning to local funding (this information has been requested from COG)
 - Review Investment Justifications and project management plans for the regional emergency management planners, the health planners including EMS, and the MMRS planners, and report on benchmarks, targets, and goals, if any, contained in those documents
 - Interview and/or survey planners and key emergency managers regarding ongoing work, progress, and obstacles to completing plans. Collect job descriptions for including planners housed in localities and state agencies and document emergency managers’ expectations for these planners
 - Collect current plans from regional emergency management planners and reporting on what plans have been completed and those underway; where benchmarks have been established, report on progress in reaching these benchmarks
- **Grants Management Team** – The Grants Management Team supports the State Administrative Agent (SAA) and provides financial management, grants management, and project management support for UASI Grants. The same staff also provides support for other Homeland Security grants awarded to DC. **Figure 8** shows the specific functions performed by this group. There are approximately 12-14 FTEs supporting this office, which is funded in part by UASI M&A.

Grants Management	Project Management
<ul style="list-style-type: none"> ▪ Ensure grant compliance ▪ Respond to audit requirements ▪ Primary point of contact/ coordination for FEMA Grant Programs Directorate ▪ Manage expenditure plans and burn rates ▪ Load District agency grant budgets, issue reimbursements to NCR partners 	<ul style="list-style-type: none"> ▪ Develop and submit District and NCR grant applications ▪ Oversee specific project planning for scope, schedule, and cost ▪ Monitor project implementation ▪ Perform due diligence to ensure project completion ▪ Notify leadership of risks and challenges facing grant-funded projects

Figure 8 - SAA Grants Management Division Functions

3.3. Examples of PMOs and Other Entities

An important input in developing the NCR PMO was the research and analysis of other, similar PMOs. This helped inform best practices for PMO type and governance.

3.3.1. Approach to Researching PMO Examples

Our approach to performing an analysis of PMO examples involves the following four steps:

1. Review industry standards, terms, and definitions
2. Identify potential examples
3. Conduct interviews and review information for selected examples
4. Summarize and document

3.3.2. Industry Standards

The term “PMO” has evolved through the years and is now used by organizations to refer to a number of different entities, including *Project* Management Offices and *Program* Management Offices. This section provides a summary of industry terms, concepts, and frameworks related to project and program management. This information is not meant to provide an exhaustive review of industry standards. Rather, it serves as a foundation from which to consider design options for the NCR PMO.

3.3.3. Project Management Office

In general, Project Management Offices serve to manage *projects*, which are defined by the Project Management Institute (PMI) as “a temporary endeavor undertaken to create a unique product, service, or result.” Further, the management of projects is defined as “the application of knowledge, skills, and techniques to execute projects effectively and efficiently.” In some cases, a Project Management Office exists to manage and execute a single large project or several related projects throughout the full project lifecycle. This type of project office has a specific purpose and is typically “closed” upon completion of the project.

In other cases, a Project Management Office is established as a stand-alone entity to execute projects for the organization, or to provide resources, disciplines, expertise, and tools to support projects. This type of project office has an ongoing mission in support of the organization, and remains in place to support new projects.

3.3.4. Program Management Office

Alternatively, *Program* Management Offices exist to oversee or manage a number of different projects, all in support of a common objective, initiative, or program. PMI defines a Program as “a group of related projects, subprograms, and program activities that are managed in a coordinated way to obtain benefits not available from managing them individually.” Further, according to PMI, “the primary context for program management within an organization is the planning and performance against organizational strategy.”

Program offices can serve many purposes, ranging from focusing on the strategic value of the projects to being involved with day-to-day execution of the project. For purposes of this analysis, we explore three types of program offices: Strategic Focused, Project Execution Focused, and Standards-Based (Guiding) Focused.

Strategic focus: This type of program office provides strategic direction for the program, ensures that projects align with overall organizational strategy and objectives, and measures results toward meeting the strategic goals. This type of program office tracks program progress, supports change management activities, provides access to PM methodologies, processes, and tools, and centralizes information. It generally does not have decision authority or accountability at the project level for schedule, cost, scope, or project risk.

This model works best when program assets and budget are controlled by other entities outside of the PMO's authority. The model also works best when there are external stakeholders, limited dependencies between the projects, a narrow program scope, and strong and capable project teams that share or own project risk.

Project Execution Focus: On the other end of the spectrum, this type of Program Office not only coordinates projects against the organization's strategic plan, but also directly manages projects. This type of PMO is responsible for performance of the projects and manages dependencies and risks across all projects.

This model works best when there are limited stakeholders, project management expertise is concentrated among a few resources, and the projects are highly inter-dependent and requires an integrated approach. This model also implies a relatively large PMO staff.

Guiding and Standards-Based Focus: This type of program office is a balance of the strategic focus and execution focus. It provides templates, best practices, and general project management guidance for project managers who manage projects, but generally does not manage or have accountability at the project level for schedule, cost, scope, or project risk. This type of program office provides clear parameters for project managers to make decisions, participates in some decisions related to cost, schedule, performance, scope baselines, and changes to the baseline, and conducts independent project assessments.

This model works best when program assets and budget are controlled within the PMO or by external entities, the program is comprised of large, complex projects, and there are strong external stakeholders.

3.3.5. Identify Potential Examples

PMOs exist in hundreds of organizations, including large private sector companies, U.S. Federal agencies, state and local governments, non-profit organizations, and regional consortiums and associations. For the purposes of this analysis, we limited our review to entities that were similar in nature, scope, size, and complexities to NCR Homeland Security.

An initial set of potential examples included a number of Urban Area Security initiative (UASI) organizations, including The Bay Area UASI, the New York City UASI, the Los Angeles UASI, and the Baltimore UASI; other Washington DC regional programs, such as the National Capital Transportation Planning Board (TPB), the Northern Virginia Emergency Response System (NVERS), and the Blue Plains Inter-Municipal Agreement.

Based on initial observations of these entities, the PMO Design Team decided to focus on the following three entities:

- Bay Area UASI
- Transportation Planning Board
- NVERS

3.3.6. Conduct Interviews and Gather Relevant Information

Our intent was to gather information that would be most relevant to informing the PMO Design for NCR. For each example, we interviewed the Director and/or General Manager, and reviewed publicly available information and other information provided by the interviewees. We gathered data on the regional scope of the initiative, the overall governance model used, the organizational structure for the management office, the roles and responsibilities of staff within the management office, and the funding to support the office.

3.3.7. Relevant Examples

This section provides information on three organizations: the Bay Area UASI, the National Capital Region Transportation Planning Board (TPB), and the Northern Virginia Emergency Response System (NVERS).

3.3.8. Bay Area UASI

In 2006, the Department of Homeland Security combined the three previously independent jurisdictions of San Francisco, Oakland, and San Jose into the current Bay Area UASI. The Bay Area UASI manages approximately \$26 million in UASI grants annually and is required to report its progress to the Grants Monitoring Division within the California Office of Emergency Services (CAL-OES). CAL-OES acts as the SAA for the Bay Area and assesses the UASI grant program, in addition to verifying that the grant awards are being managed effectively. CAL-OES reports all required information to FEMA.



Regional Scope

The Bay Area UASI region is comprised of twelve counties (Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Santa Cruz, Solano, Sonoma, Monterey and San Benito), the three major cities of Oakland, San Francisco, and San Jose, and over 100 incorporated cities. The area has a combined total population exceeding 8.7 million people. San Francisco is the fourth most populous city in California and the most densely populated major city in the State. San Jose and Oakland are the third largest and eighth largest cities in California, respectively.

Governance Structure

The Bay Area UASI resides within the San Francisco Department of Emergency Management. The Bay Area UASI is governed by a Memorandum of Understanding (MOU) between the county participants and is managed through a four-tiered governance structure that includes the following groups:

- Approval Authority
- Advisory Board

- Management Team
- Working Groups

Approval Authority – As outlined in the MOU, the Approval Authority provides policy direction to the program and is responsible for final decisions. In addition, the Approval Authority is responsible for coordinating a regional approach to prevention, protection, response and recovery to homeland security threats in accordance with DHS grant guidelines.

Voting members of the UASI Approval Authority are representatives from the cities of San Francisco, Oakland, and San Jose, and the counties of: Alameda,

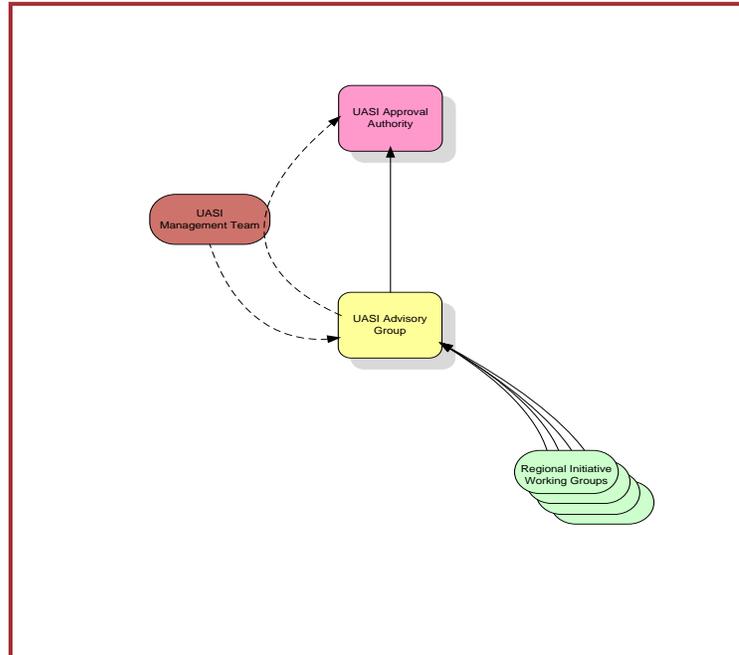
Santa Clara, San Mateo, Marin, Sonoma, Contra Costa, and Monterey. With the exception of the City and County of San Francisco, which has two designated members, the Approval Authority consists of one representative of each of the twelve designated counties, plus one non-voting member appointed by the California Governor’s Office of Emergency Services. The non-voting member serves in an advisory capacity. Each of the Approval Authority members has the authorization to take action for and speak on behalf of their representative county.

The Approval Authority’s responsibilities include, but are not limited to the following:

- Approve the UASI region homeland security strategy, which determines the focus of the Bay Area UASI program
- Approve all UASI Program and related grant applications
- Approve allocation and distribution of grant funds
- Designate a General Manager for the Management Team

Advisory Group – The second tier of governance within the Bay Area UASI is the Advisory Group. Membership of the Advisory Group includes one representative from each of the county operational areas, the Northern California Regional Intelligence Center (NCRIC)/Fusion Center, as well as the Coastal Regional Administrator for the California Governor's Office of Emergency Services. The Advisory Group makes policy and programmatic recommendations to the Approval Authority and ensures broad representation, input, and participation in the regional planning process.

Management Team – The third tier of the Bay Area UASI governance structure includes the Management Team. The Bay Area UASI Management Team is housed within the Department for Emergency Management within the City and County of San Francisco. The Management Team also serves as the point of contact for all inquiries and issues from regional stakeholders and facilitates Approval Authority, Advisory Group, Work Groups, and other stakeholder meetings.



Working Groups – Chaired by the PM’s supporting the Management Team, the Bay Area UASI has four working groups which include: Risk Management/Info Analysis; Communication; Training & Exercise/Chemical; Biological, Radiological, Nuclear, and Explosives (CBRNE); and Catastrophic Planning/Health. The working groups participate in new project identification and apply a regional approach to planning. The working groups provide an opportunity for the members to understand the progress that is being made on projects. In 2011, the Project Managers were responsible for chairing and facilitating their respective working groups. In 2012, the working groups were disbanded, but there have been some indications that the working groups may be organized again.

Organizational Structure

As shown in Figure 9, the organization is structured along three major functional areas: financial management, compliance, and project management. The financial group, led by a Chief Financial Officer, manages the grants, accounting and contracts for the office. The compliance group is staffed with a Compliance Manager and administrative and planning support staff. The project management group is led by a Regional Project Manager who manages a team of staff structured to mirror the working groups where applicable, organized by UASI functional project area (e.g. Training and Exercise, CBRNE, etc.).

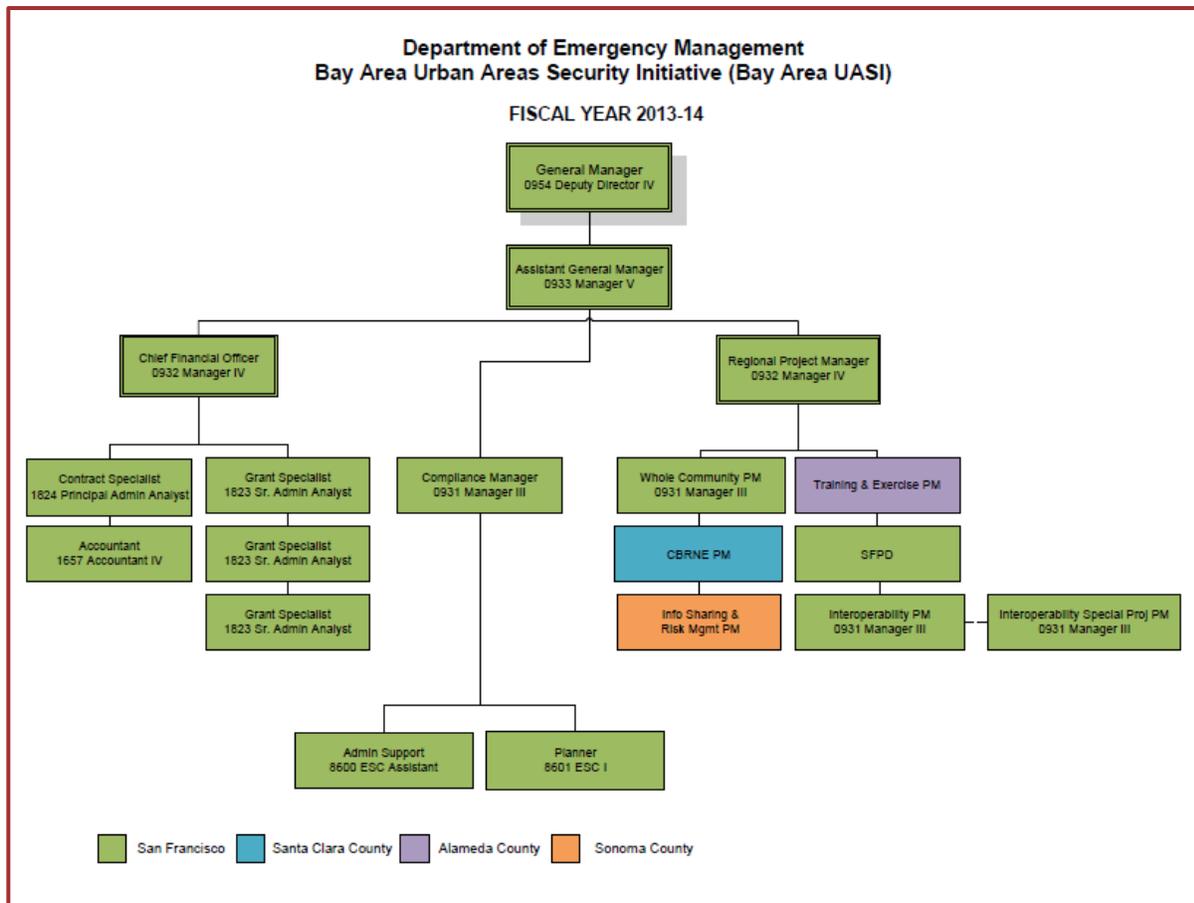


Figure 9 - Bay Area UASI Management Team

Bay Area UASI Staffing, Roles, and Responsibilities

The Management Team has been in place for close to six years and is currently supported by a staff consisting of 19 people, all funded through the UASI grant. With the exception of two project management staff members who are detailed to the Management Team by participating counties, the Management Team staff members are all employees of the City and County of San Francisco, Department of Emergency Management, and belong to a union. The staff receives all of the benefits offered to other City and County employees. While the staff is employed by San Francisco, they work on behalf of the region and make efforts to separate their function from the City and County of San Francisco.

The **Project Management Unit** is staffed with Subject Matter Experts (SME) who have technical project management expertise. In addition, the PM's have the necessary soft skills to support and build relationships with the various different stakeholders. Understanding of homeland security grants is preferred when recruiting, but not required. The Project Management Unit is responsible for:

- Needs Identification – Working with any advisory and working groups, as well as appropriate Bay Area stakeholders, to obtain input and make recommendations to the Approval Authority on application for – and allocation and distribution of – grant funds and policy and programmatic objectives.
- Coordination and Collaboration – Coordinating and managing advisory and working groups, including serving as the liaison between those groups to ensure regional coordination and collaboration.
- Project Management – Providing regional coordination, monitoring, management, and oversight of grant-funded projects and programs. Depending on the level of expertise available at the jurisdiction level, activities may include direct implementation management. The decision to manage an initiative at the project or program level is made on a case-by-case basis and generally involves an analysis of the internal capabilities within the jurisdictions and the Management Team.
- Program/Portfolio Management – Providing full lifecycle management and implementation of larger scale programs such as Patient Tracking.

The **Grants Management Unit** is staffed with financial analysts who have experience in managing and administering the fiscal requirements of grants, developing grant application responses, performing accounting functions, maintaining accurate financial data, performing audits, developing budgets, and supporting the development of MOUs and contracts. The Grants Management Unit is responsible for:

- Grants Administration – Administering federal grant awards to ensure compliance with federal laws, regulations, executive orders, OMB circulars, departmental policy, award terms and conditions, and state and local requirements.
- Procurement – Developing contracts for projects and reviewing and approving contract procurement for sub-recipient projects.
- Accounting – Reconciling financial records, responding to internal and external audits, reimbursement of sub-recipients, processing of cash requests, and ensuring all activities carried out under the Bay Area UASI grant program are reasonable and allowable.

- Sub-recipient Partnerships – Helping prepare and modify agreements between the Bay Area UASI and sub-recipients as well as monitoring sub-recipients to ensure compliance with grant requirements.

Funding

The yearly cost to support the Management Team staff is approximately \$3.2 million and is funded by the UASI grant.

3.3.9. National Capital Region Transportation Planning Board

Federal law requires that a Metropolitan Planning Organization (MPO) be implemented in urban areas with a population over 50,000. In 1965 the National Capital Region Transportation Planning Board (TPB) was designated as the NCR's MPO by the governors of Virginia and Maryland and the mayor of Washington based upon an agreement among the local governments. The TPB prepares plans and programs that the federal government must approve in order for federal-aid transportation funds to be awarded to the NCR.

The Director of Transportation Planning within COG and his/her designees in the COG Department of Transportation Planning serve as staff to the TPB for the transportation planning process.

Regional Scope

The TPB's planning area covers the District of Columbia and surrounding jurisdictions in Maryland (Charles County, Frederick County, Montgomery County, Prince George's County, plus the cities of Bowie, College Park, Frederick, Gaithersburg, Greenbelt, Rockville, and Takoma Park) and Virginia (Alexandria, Arlington County, the City of Fairfax, Fairfax County, Falls Church, Loudoun County, the Cities of Manassas and Manassas Park, and Prince William County).

The TPB facilitates an integrated approach towards transportation development in the region. Voting members of the TPB include representatives of local governments, state transportation agencies, the Maryland and Virginia General Assemblies, and the Washington Metropolitan Area Transit Authority. Non-voting members from the Metropolitan Washington Airports Authority and some federal agencies are also members of the Board.

Governance Structure

The TPB is comprised of multiple committees and groups that assist the Board in its decision-making process. The TPB is an independent board, and its governance process is separate from that of COG. Decision-making authority resides within the TPB governance structure for regional transportation plans and programs; and though COG members provide matching funds in some cases for federal and state grants, TPB decisions are not required to go on to the COG board for approval.

In general, there are three tiers of TPB governance: a Steering Committee, Technical Committee, and Advisory Committees and Task Forces (shown in **Figure 10**). COG Transportation staff currently support these committees.

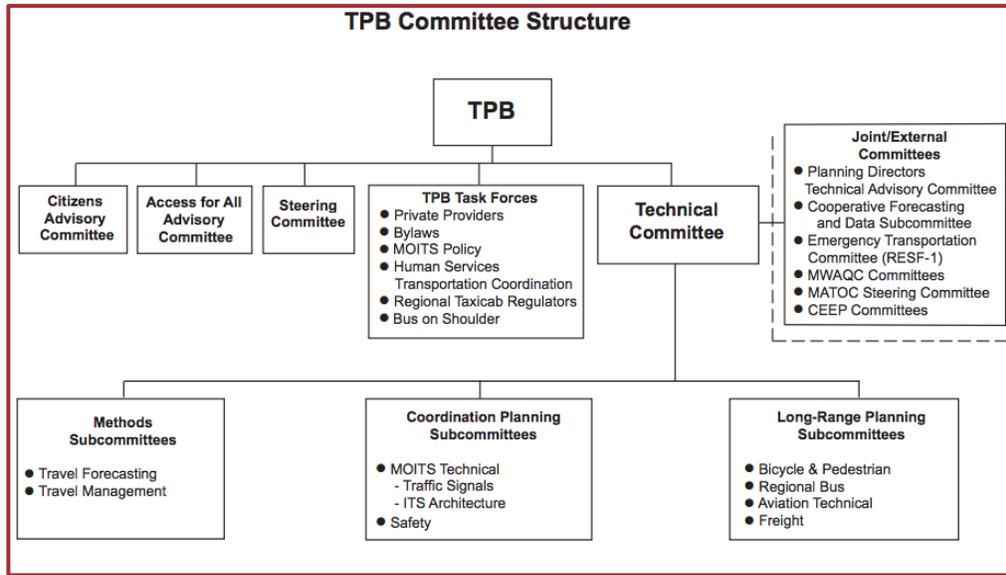


Figure 10 - TPB Committee Structure¹

A Steering Committee is organized to manage the transportation planning process. The Committee is led by the TPB Chairperson and is comprised of ten members, which include a TPB Chairperson and an immediate past Chairperson, one local government representative from the District of Columbia, one elected local government representative from Maryland, one elected local government representative from Virginia, one representative each from the State Transportation Agencies, one representative of WMATA, and the Chair of the Technical Committee.

Responsibilities of the Steering Committee include, but are not limited to:

- Support the development of the annual transportation planning work program and budget
- Review monthly recommendations from the TPB staff and Technical Committee
- Work with the TPB Chairperson and staff to develop recommendations for the TPB on revisions to regional transportation plans
- Assist the TPB Chairperson in preparing for meetings and Committees

Technical Committee – The Technical Committee was implemented to advise and assist the TPB in the more specialized aspects of the planning process. Technical Committee members are nominated from an array of areas including jurisdictions, public agencies, private organizations, and are considered to have skill sets and experience that are specialized for certain transportation planning areas. Members of the committee meet on a monthly basis to review and provide recommendations to the TPB on cost, content of work programs, as well as methods and procedures. The Technical Committee may interact with, participate in, and receive information from Joint or External Committees for transportation-related activities. The

¹ Source: NCR TPB 2014 Unified Planning Work Program for Transportation Planning for the Washington Metropolitan Region

Technical Committee also staffs several Subcommittees to support work and decision-making in areas of Methods, Coordination Planning, and Long-Range Planning.

Advisory Committee and Task Forces – When appropriate the TPB will establish Advisory Committees or Task Forces to help inform the TPB in its decision-making process. These groups are established by a TPB resolution and have mission statements clearly delineating the purpose of the Task Force or Committee. The TPB Chairperson appoints the members of these groups. Members may consist of elected and appointed officials or other individuals with certain relevant experience or community interest.

Organization Structure

The Department of Transportation Planning staff supporting the TPB is housed within the COG organization. As shown in **Figure 11**, the department is led by a Director and is comprised of 6 teams, organized by functional area. Each team has a Director and staff of approximately 8-10 full-time employees. A small administrative staff also supports the Department.

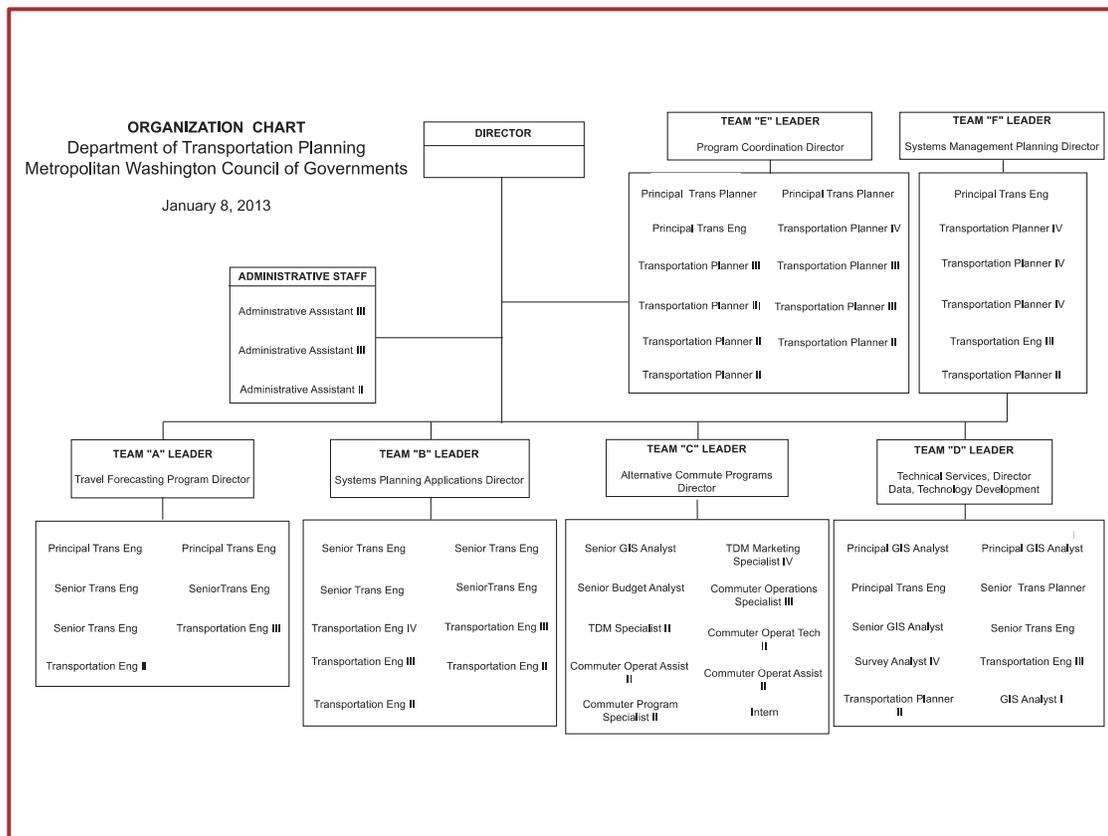


Figure 11 - COG Department of Transportation Planning Organization Chart

In addition to the support provided by the Department of Transportation Planning, the administrative infrastructure of COG is used to support the TPB program. Human resources, program accounting and financial coordination, legal services, contracts and procurement services, facilities support and physical meeting space, and administrative assistance come directly from the COG organization in support of the staff and TPB committee members.

Staffing, Roles and Responsibilities

The COG Department of Transportation Planning staff of approximately 55 employees provides support for the TPB in strategic planning, developing long-range plans, and program-level activities. COG Department of Transportation Planning staff has subject matter expertise primarily in the areas of engineering, planning, and policy (compliance and regulatory). For additional support and subject matter expertise, COG staff contracts with outside consultants to manage and execute projects.

The COG staff supports the TPB in coordination of cross regional resources to develop studies and other analyses whose results are used to inform decision-making related to transportation projects. For example, TBP staff develops travel forecasts and models that provide data to inform how certain investments may impact congestion. The data is also useful in predicting travel conditions, air quality, etc. The COG staff also works on coordinated initiatives, such as the Regional Transportation Priorities Plan (RTPP), an effort to identify transportation strategies that offer the greatest potential contributions towards realizing regional goals.

COG staff and consultants support NCR transportation planning in a variety of areas, including grants management, project management, data analysis, policy, regulatory compliance, strategic and financial planning, accounting, procurement and contracting, legal services, strategic planning, as well as meeting and event management. COG staff provides critical continuity to the TPB efforts, especially since TPB membership changes as elected officials or administration representatives change. 1-3 staff members are assigned to support each TPB committee or subcommittee to provide planning support, policy expertise, and administrative support, including meeting logistics coordination.

The COG Department of Transportation Planning staff provides three levels of support for the TPB:

- **Strategic Planning and Visioning** – Develops strategic vision for regional transportation, in coordination with TPB board members and key regional stakeholders. The Vision outlines the region’s long-term goals and strategies to “sustain economic development, environmental quality and a high quality of life.” All projects put forth by the regional partners must be in line with the Vision and the TBP ensures that this occurs.
- **Long Range Planning** – Supports the TBP to coordinate the efforts to develop federally mandated long range planning documentation. In the National Capital Region these documents are the Financially Constrained Long Range Transportation Plan and the Transportation Improvement Program documents. In order to receive federal funding, all transportation impacting projects anticipated to be implemented within the next 25 years must be included in these documents. The TBP ensures that the projects put forth in the documentation are able to be adequately funded and also meet other criteria such as air quality standards associated with the Clean Air Act.
- **Program-Level Support** – Develops rolling, six-year program planning. This level specifies which projects are funded each year, and works with implementing agencies to ensure higher-level goals are met (e.g. ridership, congestion) but does not monitor on a project-by-project basis.

The majority of the work that COG staff does is at the planning or study level. The transportation planning work program is described in the Unified Work Planning document,

which is updated each year. This program has an annual budget of approximately \$12 million, and is federally funded.

Most operational level projects within the TPB purview are not managed within COG structure, but are managed by transportation agencies (e.g. WMATA or VDOT). Accordingly, most project funds do not pass through COG, but go directly to the managing agencies. However, the Transportation Planning Department staff does manage a number of regional projects, including the Transportation Investment Generating Economic Recovery (TIGER) Grant (TIGER), the JARG project, the Street Smart program, the Transportation Land Use Connection (TLC) program, the regional incident management program, and the Commuter Connection program.

The biggest program that the Transportation Planning staff manages is the TIGER program – a \$58 million grant program, which involves 5 jurisdictions: MD, VA, City of Alexandria, DC, and Metro. The TIGER program grants cover procurement and development projects (e.g. construction projects). COG staff oversees grant distribution on a competitive basis, reports on project metrics, and facilitates monthly meetings. There is a dedicated project manager on the COG staff that is funded by the TIGER program money. In addition, a consulting firm supports TIGER work efforts.

COG is also a designated recipient of federal JARG transit funds, which provide services to people with disabilities and of low-income status. The program has awarded 60 grants over the last five years, and COG staff administers the competitive process to select grantees.

Two COG staff members support the Street Smart public education program, which uses funds from DOTs to administer projects related to pedestrian safety and highway safety.

The TLC program is a \$250,000 per year program that offers competitive solicitations to jurisdictions for technical assistance studies from pre-authorized consultants. These funds are limited to studies and cannot be used implement projects.

Finally, the commuter connection program is an operating program within COG supported by 10 staff members, including budget analysts and marketers. The TPB reports on Commuter Connection activities and approves the Commuter Connection work program; however, the program is funded directly by the Maryland, Virginia, and District of Columbia DOTs, which have final authority on program decisions.

Transportation Program Funding

All funding for the Department of Transportation Planning staff and projects comes through grant agreements or project-specific contracts. Most funding for COG staff comes from federal (80%), state (10%), and local match (10%) planning funds.

COG holds Master Contracts with Maryland, Virginia, and the District of Columbia for their respective funding streams. For each fiscal year starting on July 1st, COG develops a work program for the year, which is sent to the Technical Committee for approval. Once approved, the work program goes to the Steering Committee for final review and approval before it is submitted to the states and the District of Columbia for funding.

COG receives three kinds of federal transportation planning money, from the Federal Transit Agency, the Federal Highway Administration, and the Federal Aviation Administration, respectively. The group also supports the transportation-related projects within a COG-coordinated incident management program funded by Maryland, Virginia, and the District of Columbia.

3.3.10. Northern Virginia Emergency Response System (NVERS)

NVERS was established in 2005 and serves a critical and strategic role ensuring regional collaboration at the jurisdictional level and by the different emergency response disciplines. NVERS is housed within the Northern Virginia Hospital Alliance (NVHA), a not-for-profit coalition that includes all 14 acute care hospitals that operate within the Virginia portion of the National Capital Region. NVHA serves as the sub-grantee for the NCR UASI funds.

On average, NVERS manages approximately ten programs of different sizes and complexities that are worth approximately \$2-3 million per year. The purpose of NVERS is to support Northern Virginia's emergency response in the following ways:

- Operate collectively to set priorities and support preparedness, response, mitigation and recovery activities
- Standardize processes, functions, and equipment, and technology to enable operability, interoperability, and surge support across partner agencies in the Region
- Ensure that capable responders receive the necessary equipment and training to be effective and efficient at their jobs
- Engage and communicate with citizens to ensure they are prepared for emergency events
- Increase awareness region-wide about where to go for information and what to do in emergency situations.

Regional Scope

As shown in **Figure 12**, NVERS supports the region of 25 towns, cities, and counties that comprise Northern Virginia. NVERS members represent various public safety disciplines including representatives from fire and rescue, EMS, hazardous materials, law enforcement, emergency management, hospitals, public health, public information, and information technology.

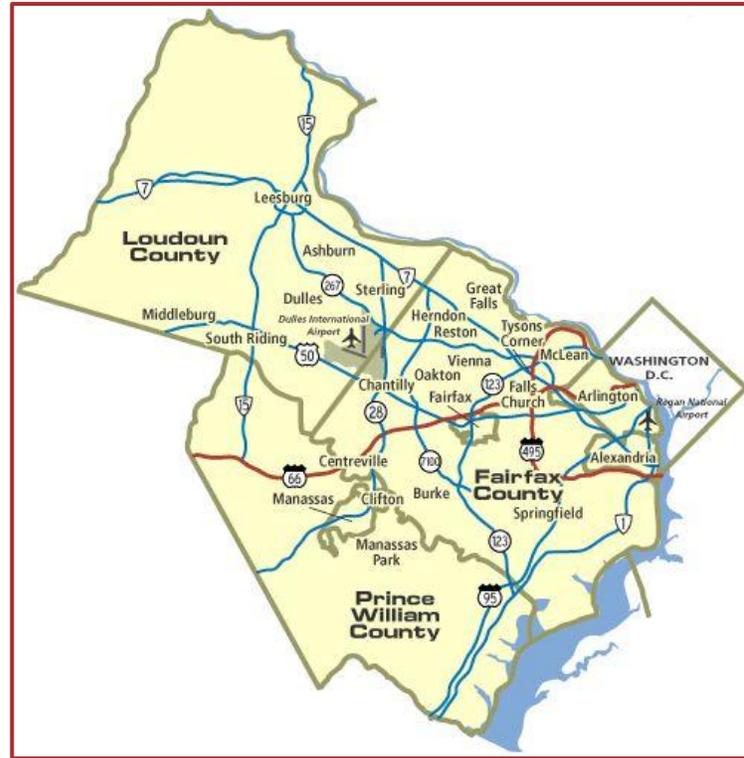


Figure 12 - NVERS Regional Scope

Governance Structure

The NVERS governance model is a three-tiered model that includes an Executive Committee, a Steering Committee, and the NVERS Executive Director and staff. The NVERS Relationship Map (see **Figure 13**) depicts the key interactions of the NVERS program, its committees, and regional stakeholders in support of the NVERS mission.

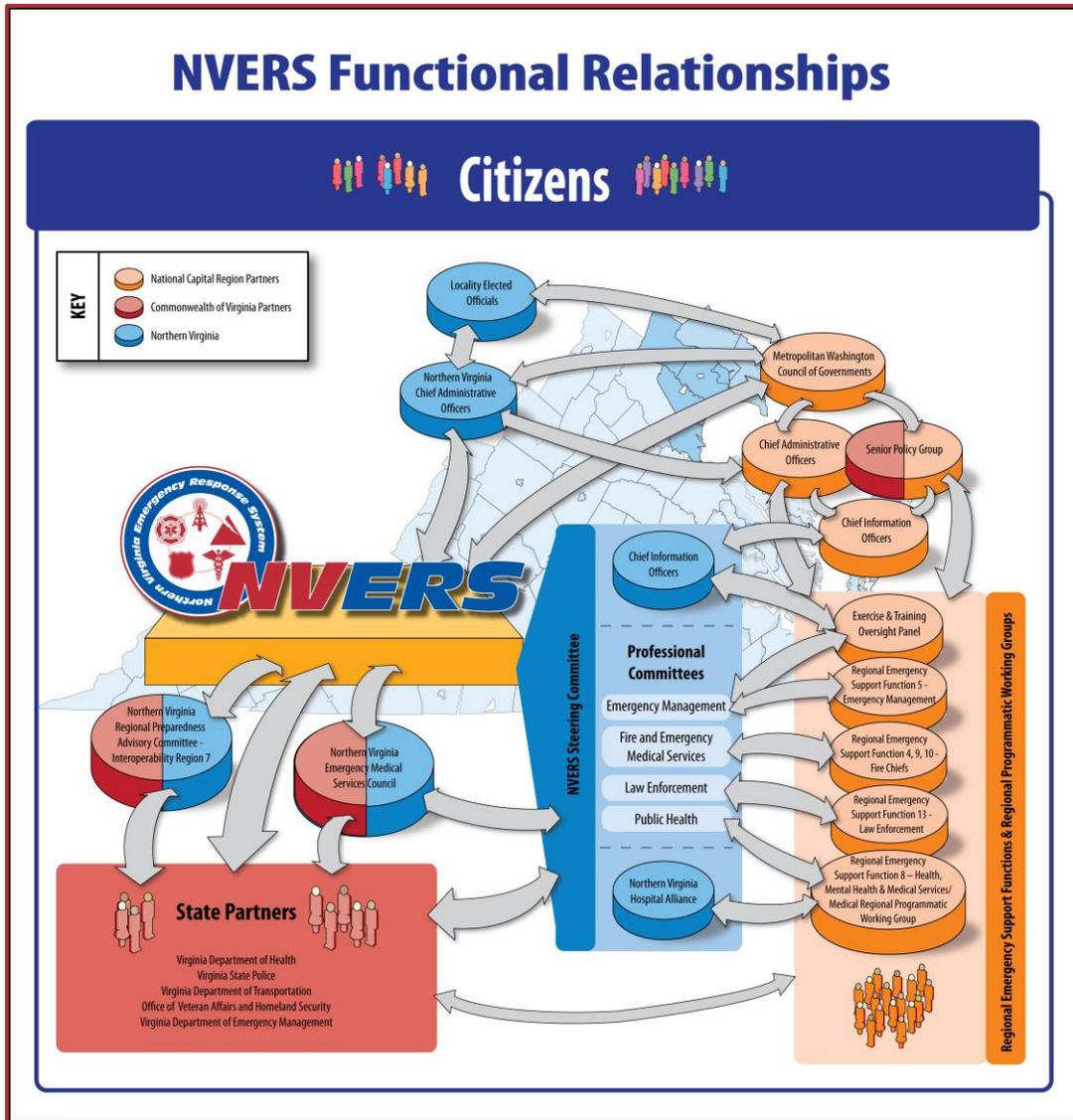


Figure 13 - NVERS Relationship Map

Executive Committee – NVERS operates under the authority of the CAO who serves as the NVERS Executive Committee. Decision-making authority resides with the Executive Committee and has been granted to NVERS from NVHS to support decisions relating to preparedness, response, and recovery across public safety disciplines.

Steering Committee – A Steering Committee is in place to develop the strategic policies, direction, and make funding decisions necessary to execute the mission of NVERS. The Committee is comprised of two representatives, across jurisdictions, from each of the following disciplines: Chief Information Officer, Emergency Management, Fire and Emergency Medical Services, Hospitals, Law Enforcement, Public Information Officer, and Public Health. A Chair and a Vice Chair are elected by the Steering Committee members and serve as the communication conduit to the Executive Committee.

The responsibilities of the Steering Committee include, but are not limited to, the following:

- Adoption of charter and operating guidelines
- Creation and approval of a strategic plan
- Creation and approval of an implementation plan
- Creation and approval of financial plans and budgets for all funds allocated to NVERS
- Management of financial plans and budgets for all funds allocated to NVERS
- Appointment and evaluation of the Executive Director
- Approve addition of staff as needed
- Development and approval of administrative and operational functions to direct and oversee the work of the Committee
- Support an annual audit of NVERS
- Creation and approve annual objectives and work plans
- Adoption of general policy guidelines of NVERS
- Approval all NVERS contracts
- Establishment of subcommittees and appoint additional committee members as needed
- Other actions as necessary or assigned by the CAOs

The Steering Committee is supported by four standing subcommittees, which include Emergency Management, Fire and EMS, Law Enforcement, and Public Health. These subcommittees oversee planning efforts and projects, and engage in discussions on tactical issues.

Office of the Executive Director – The Office of the Executive Director is part of the NVERS Regional Staff and reports to the Steering Committee. The office includes an Executive Director, a Deputy Director, and four to five project managers who manage projects, coordinate among stakeholders, report to the Steering Committee, and support sub-committees.

Organization Structure

An Executive Director manages the NVERS organization, supported by a team of contractors that coordinates working groups and projects divided by functional area.

Staffing, Roles and Responsibilities

NVERS operates as a program office and has strategic planning responsibilities, in addition to project management, project execution, and administrative responsibilities. The Executive Director Staff is not aligned or organized by a specific emergency management discipline, but on a weekly basis meet as a group to share knowledge and work across disciplines.

Approximately 85 percent of the projects managed by the Executive Director Staff are larger scale initiatives such as Patient Tracking.

The NVERS Executive Director and its staff are responsible for the following functions:

- Strategic planning and implementation
- Outreach and partnerships
- Knowledge management and collaboration

- Grants management
- Service and Support to NVERS Steering Committee and all subcommittees
- Steering Committee Meetings Management and logistics
- Project management

Generally, each staff member will either manage one large project or focus on a grouping of smaller initiatives. Regardless of project size or regional impact, each of the staff members have responsibility for the full lifecycle implementation of a project, including scheduling, issue tracking, and reporting to both NVHA and the NCR SAA. While the NVERS staff does not hold official roles within the NCR’s regional working group structure, the Executive Director does spend quite a bit of time attending these working group sessions to promote the desires of the NVERS Steering Committee.

From a skill set perspective, the staff, generally have more project management expertise than emergency management expertise. The project management experience is required when recruiting for the positions, but the emergency management experience is desired.

The NVERS staff members serve as 1099 independent contractors to NVHA and do not receive the benefits that an employee within NVHA would receive.

NVERS Funding

NVERS receives funding from federal, state and local grants, including NCR UASI funds. NVERS manages approximately ten programs of different sizes and complexities that are worth approximately \$2-3 million per year.

3.3.11. Summary of Findings

The three examples described above are all relevant to the NCR PMO Design in that they each serve a number of regional stakeholders, support a strategic plan and vision for their region, and help coordinate multiple high-profile, regional projects.

The table below summarizes the information we gathered for each of these three examples. Specifically, we summarize the regional scope, institutional alignment, governance structure, organization structure, program vs. project focus, and the size of the team.

Element	Bay Area UASI	Transportation Planning Board	NVERS
Regional Scope	<ul style="list-style-type: none"> • 12 Counties; three major cities; and over 100 other cities around CA Bay Area • \$26 Million in annual UASI funds 	<ul style="list-style-type: none"> • Includes DC and 20 surrounding counties and cities 	<ul style="list-style-type: none"> • 25 towns, cities, and counties in Northern Virginia
Specific Entity Reviewed	<ul style="list-style-type: none"> • Bay Area UASI Management Team 	<ul style="list-style-type: none"> • Department of Transportation Planning 	<ul style="list-style-type: none"> • NVERS Office of the Executive Director
Institutional Alignment / Housing	<ul style="list-style-type: none"> • Housed within the SF Department of Emergency Management (DEM) • Staff are employees of SF 	<ul style="list-style-type: none"> • Housed within COG • Staff are employees of COG and report to the COG 	<ul style="list-style-type: none"> • Housed within the Northern Virginia Hospital Alliance (non-profit);

Element	Bay Area UASI	Transportation Planning Board	NVERS
	DEM	Executive Director	<ul style="list-style-type: none"> NVERS staff are independent contractors to NVHA
Governance Structure	<ul style="list-style-type: none"> MOU between county participants Four-tiered structure: <ul style="list-style-type: none"> Approval Authority Advisory Board Management Team Working Groups 	<ul style="list-style-type: none"> Three-tiered structure: <ul style="list-style-type: none"> Steering Committee Technical Committees Advisory Committee/Task Forces 	<ul style="list-style-type: none"> Three-tiered structure: <ul style="list-style-type: none"> Executive Committee Steering Committee Office of the Executive Director
Organizational Structure	<ul style="list-style-type: none"> Management Team has three functional areas: <ul style="list-style-type: none"> Financial Management Compliance Project Management 	<ul style="list-style-type: none"> Department is comprised of six teams: <ul style="list-style-type: none"> Program Coordination Systems Management Planning Travel Forecasting Program Systems Planning Applications Alternative Commute Programs Technical Services 	<ul style="list-style-type: none"> The Office of the Executive Director does not have a formal organizational structure; staff is aligned by major projects.
Program vs. Project Focus	<ul style="list-style-type: none"> The team provides coordinating and oversight of projects; and in some cases, directly manages projects that are complex or larger-scale. This decision is made on a case-by-case basis. 	<ul style="list-style-type: none"> The team provides strategic planning and program-level support; most projects are managed at the operational level. However, the team does manage a number of regional projects, including the \$58 million 	<ul style="list-style-type: none"> Most of the work performed by the NVERS team is in direct management and coordination of a few large projects

Element	Bay Area UASI	Transportation Planning Board	NVERS
		TIGER program.	
Size of Team / Funding	<ul style="list-style-type: none"> 19 staff \$3.2 million budget funded by UASI grant 	<ul style="list-style-type: none"> 55 staff 	<ul style="list-style-type: none"> Approximately 7 FTEs

3.4. Evaluation of Institutional Options

A key decision related to establishing a PMO for NCR is to determine where the PMO should be “housed.” For purposes of this document, “housing the PMO” refers to both the physical location of the PMO, and also the organizational entity under which it will operate.

3.4.1. Approach to Evaluating Options

Our approach to performing this evaluation followed a four-step process: First, we defined four potential options; second, we identified key criteria for where to house the PMO; third, we examined relevant examples from other organizations; and fourth, we assessed the options against the established criteria.

3.4.2. Options for Housing the PMO

The PMO Design team identified the following four viable options for housing the PMO: COG, the District of Columbia Homeland Security and Emergency Management Agency (HSEMA), an existing non-profit organization, or a newly established non-profit organization. In all cases, it is assumed that the PMO would report operationally to the NCR SPG/CAO-HSEC. In addition, these options focus on a first-year scenario only. While it is possible that each option could evolve over time, it is beyond the scope of this deliverable to evaluate those multiple variations.

- Metropolitan Washington Council of Governments (COG)** - Under this option, the PMO would be housed at COG’s facility at 777 North Capital Street, NE, and report administratively to the Senior Director, Environment, Public Safety and Health. The staff would be employees and/or contractors of COG, and supported by COG’s administrative and technical resources. As a variation, the PMO could be physically located at COG, and exist as a stand-alone non-profit organization.
- D.C. Homeland Security and Emergency Management Agency (HSEMA)** - Under this option, the PMO would reside at HSEMA, at 2720 Martin Luther King Jr. Avenue SE, Washington, DC, and report administratively to the Director of Emergency Management. Staff would be employees and/or contractors of HSEMA. As a variation, the PMO could be physically located at HSEMA, and exist as a stand-alone non-profit organization.
- Existing Non-Profit Organization** - Under this option, the PMO would reside at an existing non-profit organization, such as the Virginia Tech Research Center in Arlington, VA or an entity within the University of Maryland, or at a separate non-profit organization focused on homeland security. Staff would be aligned administratively to the non-profit organization and operationally to the SPG/CAO-HSEC.
- Newly Formed Non-Profit Organization** - Under this option, the PMO would be structured as a newly formed non-profit entity. It would operate independently with no

administrative oversight from another organization and report operationally to the SPG/CAO-HSEC. The PMO would either be housed at a new location, or co-located with another organization.

3.4.3. Key Criteria

Based on interviews and stakeholder alignment sessions, the PMO Design team captured the following key criteria for housing the PMO:

- **Perception of Impartiality** – Many key stakeholders viewed the “perception of impartiality” as the primary consideration for where to house the PMO. Many of the interview participants said that the PMO should be “independent, impartial and neutral,” while following the governance model defined in the PMO Charter. The PMO should be NCR-focused, and not aligned with, or perceived to be influenced by, any one stakeholder organization involved in the UASI grant process.
- **Fits within the Mission** – an important criterion for where to house the PMO is whether the work performed by the PMO would logically fit the organization’s mission. Given the regional scope and purpose of the PMO, stakeholders considered it desirable that the PMO reside in an organization that also had a “regional mission.”
- **Existing Physical Infrastructure** – Stakeholders also identified sufficient and available physical infrastructure (networks, technology, desks, office space, meeting rooms, etc.) as an important consideration. In particular, interviewees indicated that having a centrally located meeting facility was valuable. An existing physical infrastructure was also viewed favorably in terms of facilitating a low-cost and rapid start-up of the PMO.
- **Existing Administrative Infrastructure** – The extent to which the option has sufficient and available administrative infrastructure (HR, policies and procedures, procurement, security, financial, etc.) to support new staff was also highlighted by stakeholders. Existing administrative infrastructure would allow for a more rapid and low cost implementation of the PMO, particularly with regard to hiring employees or contractors.
- **Timeliness/Efficiency to Implement** – Stakeholders indicated that the ability to stand up a PMO quickly and efficiently was also important. Factors include whether physical and administrative infrastructure already exist, whether new stakeholders add potential complexity, and whether any other barriers exist that could hinder implementation.
- **Cost of Initial Start Up** – This criterion considers the cost of implementing the new PMO, including physical and administrative start-up costs.
- **Cost of Ongoing Operations** – This criterion considers the ongoing cost of operations. While this is an important consideration, the variance in how different organizations calculate “cost of services” makes it difficult to conduct a detailed analysis and comparison. A key assumption for every option is that the total cost of salaries (without fringe and overhead) would not vary.

3.4.4. Relevant Examples

The PMO Design team identified several examples of PMOs and similar entities (see *Summary of Examples of PMOs and Similar Entities*), and captured information on their respective governance models, team structures, and roles and responsibilities. In addition, we captured information on the *physical location* of the PMO, the entity in which the PMO is aligned *administratively* (financially and legally), and the entity to which the PMO reports *operationally* (according to the governance model). The following information is provided as additional background in evaluating options for housing the NCR PMO.

- **Bay Area UASI** - The Bay Area UASI is supported by the UASI Management Team, which is housed within the San Francisco Department of Emergency Management (SFDEM). The General Manager of the Management Team is aligned *administratively* to the SFDEM, and team members are employees of SFDEM. The UASI Management Team, on the other hand, reports *operationally* to the UASI Advisory Board, which in turn reports to the UASI Approval Authority.
- **NCR Transportation Planning Board (TPB)** – The TPB is supported by the Department of Transportation Planning within COG, which is housed at COG’s headquarters in Washington, DC. The Senior Director for Transportation Planning reports *administratively* to the COG Executive Director, and staff members are employees (or contractors) of COG. *Operationally*, the Department of Transportation Planning reports to TPB Steering Committee, and also provides direct support to the TPB, the Technical Committee, and other Task Force groups, Committees, and Subcommittees. The Department supports program-level activities and also manages several projects directly.
- **Baltimore Region UASI** – The Baltimore Region UASI is comprised of the cities of Baltimore and Annapolis and the counties of Anne Arundel, Baltimore, Carroll, Harford, and Howard. Representatives from each jurisdiction comprise the Baltimore Urban Area Homeland Security Work Group (UAWG). A UAWG Chairperson and his staff (employees and/or contractors) are housed within the City of Baltimore, Mayor’s Office of Emergency Management (MOEM), and are aligned *administratively* to the MOEM Director. The UAWG staff provides operational support for the entire UASI program, and report *operationally* to the UAWG.
- **Northern Virginia Emergency Management System (NVERS)** – NVERS is housed within the Northern Virginia Hospital Alliance (NVHA), a not-for-profit coalition that includes all 14 acute care hospitals that operate within the Virginia portion of the National Capital Region. NVHA serves as the sub-grantee for the NCR UASI funds. NVERS staff members report *administratively* to NVHA, and serve as independent contractors to NVHA. *Operationally*, NVERS staff reports to the NVERS Steering Committee. NVERS is currently exploring non-profit status as a separate entity.

3.4.5. Evaluation of Options

The table below provides an evaluation of the four options against the stated criteria.

Criteria/Requirement	COG	DC HSEMA	Existing Non-Profit	New Non-Profit
Perception of Impartiality	By nearly all accounts and perspectives, COG is	Many interviewees indicated that placing the PMO at	This option would have a high degree of	This option would have a high degree

Criteria/Requirement	COG	DC HSEMA	Existing Non-Profit	New Non-Profit
	considered to have the highest level of impartiality among options. It is not affiliated with any local jurisdiction, and currently operates other program offices in an impartial manner.	DC HSEMA could be perceived as a potential conflict interest, given that DC is the SAA for the NCR UASI, and also a sub-grantee for specific projects.	impartiality.	of impartiality.
Fits within The Mission	COG's mission is to realize the <i>Region Forward</i> vision by being a discussion forum, expert resource, issue advocate, and catalyst for action. Housing a PMO to support NCR Homeland Security is consistent with that mission. In addition, COG has the mechanisms in place to continue the PMO in the event that UASI grants are reduced significantly.	HSEMA's mission is to support and coordinate homeland security and emergency management efforts for the District of Columbia. Housing a PMO to support NCR Homeland Security is not consistent with that mission.	The new PMO would need to align with the existing non-profit's mission.	A new non-profit would be established with a specific vision for NCR Homeland Security
Existing Physical Infrastructure	COG has sufficient office space, infrastructure and meeting space to support the new PMO.	HSEMA has sufficient office space, infrastructure and meeting space to support the new PMO. Proximity to the SAA and grants management staff was considered a plus.	Uncertainty as to whether the existing non-profit has sufficient space and infrastructure.	Without existing physical infrastructure, this would entail a difficult start-up. It may be possible for this entity to reside initially within an existing organization that would provide physical infrastructure.
Existing Administrative Infrastructure	COG has sufficient administrative processes and systems in place to support the new	HSEMA has sufficient administrative processes and systems in place to support the new	Uncertainty as to whether the existing non-profit has sufficient administrative	Without existing administrative infrastructure, this would entail a difficult start-up. It may be possible for

Criteria/Requirement	COG	DC HSEMA	Existing Non-Profit	New Non-Profit
	PMO.	PMO.	functions.	this entity to reside initially within an existing organization that would provide physical infrastructure.
Timeliness/Efficiency to Implement	Based on recent experience housing program offices at COG, housing the PMO at COG would allow for a quick and efficient implementation.	With existing infrastructure, the start-up of a PMO at HSEMA would be quick and efficient.	Uncertainty as to timeliness and efficiency; depends on the entity that accepts it.	Without existing physical and administrative infrastructure, this would entail a timely and slow start-up. In particular, the time it would take to establish the new legal entity makes this option less appealing.
Cost of Initial Start Up	Costs for initial start-up would be relatively low, leveraging existing technically and space.	Costs for initial start-up would be moderate. If HSEMA does not have sufficient space, then would need to lease additional space.	Uncertainty as to the initial costs	Costs for this option would be high
Cost of Ongoing Operations	Costs for ongoing operations would be based on current COG cost allocation method (2.1 x salary)	Costs for ongoing operations would be relatively low, based on current DC cost allocations to HSEMA (salary x 25% fringe, with no overhead or facilities charge)	Uncertainty to the ongoing costs. Current costs for U. Maryland are salary x 25% fringe x 25% overhead	Uncertainty to the ongoing costs.

3.4.6. Conclusion

Based on the analysis performed, key stakeholders decided that the PMO should be housed at COG. The key factors in this decision were COG’s existing regional mission and high degree of perceived neutrality. In addition, COG was preferred over other options for the existing physical and administrative infrastructure that would facilitate a timely and efficient implementation. In addition, while placing the PMO in either an existing non-profit or a new non-profit would also provide a high degree of impartiality, the uncertainties associated with an existing non-profit, and the high start up costs associated with a new non-profit make these options less appealing.

The PMO Design team reviewed the vision for the PMO, established several key criteria for where the PMO should be housed, reviewed examples of other similar entities, identified four potential options, and evaluated the four options against the stated criteria. An underlying assumption in this analysis is that, regardless of where it is housed, the PMO will report operationally to the SPG/CAO-HSEC. Further, the Design Team assumed a one-year time frame in evaluating the four options, considering that each option could evolve into numerous different scenarios over time. In addition, while each entity reviewed has its own internal cost allocation methodology, it was assumed that staff salaries would remain constant regardless of the location, and also that the PMO will incur implicit allocated costs of rent, infrastructure, technology, and management and administration.

APPENDIX A: STAKEHOLDER INTERVIEW LIST

The Clearing, Inc. met with over 30 NCR UASI stakeholders, and representatives from similar organizations, to gather information and insights to inform the research and analysis in this document and related design documents.

Name	Organization/Title	NCR UASI Role
Stuart Freudberg	MWCOG Department of Environmental Programs and Public Safety, Senior Director	MWCOG Staff / Advisory Board
Markus Rauschecker	University of Maryland Center for Health and Homeland Security, Senior Law and Policy Analyst	SPG Special Assistant
Barbara Donnellan	Arlington County Government, County Manager	CAO-SPG Liaison / CAO Vice Chair / Chair HSEC, Virginia Delegate to UASI (SPG)
Andy Lauand	MD Governor's Office, Maryland Emergency Management Agency, Governor's Homeland Security Advisor	SPG
Terrie Suit	Secretary of Veterans Affairs and Homeland Security - Virginia	SPG
Melissa Peacor	Prince William County, County Executive	CAO
Chris Geldart	DC Homeland Security & Emergency Management Agency, Director HSEMA and HS Advisor to Mayor	SPG
Nicole Chapple	DC Homeland Security & Emergency Management Agency, Senior Policy Advisor	SPG Staff
Sue Snider	VA Department of Emergency Management, UASI State Program Manager/NCR Liaison	SPG Staff
Dave McMillion	MWCOG, Department of Safety and Health, Director, Public Safety and Health	MWCOG Staff
Tim Fitzsimmons	SAA / DC Homeland Security & Emergency Management Agency, DC HSEMA Grants Division Chief	Director Grants Management (SAA)
Brendan Armbruster	MD Governor's Office, Maryland Emergency Management Agency, National Capital Region Liaison	SPG Staff
Chris Voss	Montgomery County, MD Office of Emergency Management and Homeland Security, Director	CAO-SPG Liaison

Name	Organization/Title	NCR UASI Role
Brian Baker	DC Homeland Security & Emergency Management Agency, Chief of Staff	SPG
Brett Burdick	VA Department of Emergency Management, Deputy State Coordinator	SPG / CAO Liaison
Dave McDonough	MD Governor's Office, Maryland Emergency Management Agency, Director of Administration at Maryland Emergency Management Agency	Advisory Board
Natalie Jones Best	District of Columbia Department of Transportation, Emergency Preparedness and Risk Manager	Advisory Board / RESF/RPWG SME Lead
Gail Bohan	City of Fairfax, Virginia, Chief Information Officer (CIO)	Advisory Board / RESF/RPWG SME Lead
Jeff Walker	Virginia Department of Health, Northern Region Emergency Coordinator	Advisory Board / RESF/RPWG SME Lead
Chief Richard Bowers	Fairfax County, VA Fire Chief	Advisory Board / RESF/RPWG SME Lead
Chief Stephen Holl	Metropolitan Washington Airports Authority (MWA), Chief of Police	Advisory Board / RESF/RPWG SME Lead
Jack Brown	Arlington County Government, Director, Office of Emergency Management	Advisory Board Chair
Ronald Gill	Prince Georges County, MD, Director, Office of Emergency Management	Advisory Board / RESF/RPWG SME Lead
Tristan Reed	DC Homeland Security & Emergency Management Agency, DC HSEMA, Grants Division, Grants Specialist	SAA
Charles Madden	DC Homeland Security & Emergency Management Agency, DC HSEMA Grants Division Deputy	SAA
Jerry Miller	MWCOC Department of Transportation Planning, Program Coordination Director	MWCOC staff
Ron Kirby	MWCOC Department of Transportation Planning, Director	MWCOC staff
Steve Bieber	MWCOC Department of Environmental Programs, Chief, Urban Watershed Programs and Homeland Security	MWCOC staff
Tanya Spano	MWCOC Department of Environmental Programs, Chief, Regional Water Quality	MWCOC staff

Name	Organization/Title	NCR UASI Role
	Management	
John White	NVERS, Director	Non-voting member
Kelly R McKinney PE	NYC Office of Emergency Management	N/A
Cal Bowman	Baltimore Region UASI, UAWG Chair	N/A
Christopher A. Godley, CEM	Director of Emergency Services, City of San José	N/A
Chuck Bean	Executive Director, MWCOCG	MWCOCG
Catherine Spaulding	Assistant General Manager, Bay Area UASI	N/A

APPENDIX B: PMO DIRECTOR PROFILE

This is a detailed recruitment profile for the PMO Director.

Title: Metropolitan Washington Council of Governments NCR Homeland Security Program Management Office (PMO) Director

COG Background

For more than 55 years, The Metropolitan Washington Council of Governments (COG) has helped tackle metropolitan Washington's biggest challenges, such as restoring the Potomac River, ensuring the Metro system was fully built, and strengthening emergency preparedness after September 11, 2001. Today, COG's top priority is advancing the *Region Forward* vision through the work of its Board of Directors, policy boards, committees, and programs. COG's mission is to make *Region Forward* happen by being a discussion forum, expert resource, issue advocate, and catalyst for action.

COG's ongoing [public safety programs](#) include law enforcement, fire protection, and disaster and emergency preparedness. COG coordinates these programs through the National Capital Regional Emergency Preparedness Council (NCR EPC), the advisory body that reports to the COG Board of Directors and oversees and implements the Regional Emergency Coordination Plan. The NCR EPC, the Chief Administrative Officers (CAO) Homeland Security Executive Committee (HSEC), and state representatives from the Senior Policy Group (SPG) oversee the NCR Homeland Security Strategic Plan. These groups coordinate activities of the various Regional Emergency Support Function (RESF) committees and Working Groups to identify and implement projects and initiatives in support of the Strategic Plan. The EPC, CAOs and SPG groups have identified the need for a Program Management Office (PMO) to manage regional homeland security initiatives, including those funded by FEMA Urban Area Security Initiative (UASI) grants.

NCR Homeland Security PMO Background and Vision

Leadership from the NCR EPC, the CAOs, and SPG have charged COG with setting up a new PMO comprised of dedicated, full-time staff to manage and oversee the implementation of the NCR Homeland Security Strategic Plan. The NCR Homeland Security PMO will be responsible for guiding updates to the NCR Homeland Security Strategic Plan and developing priority projects for UASI grant funding in support of the region's strategic plan. The PMO will support the NCR EPC, the CAO-HSEC, and SPG in homeland security governance responsibilities. The PMO will also enhance the overall management of the region's homeland security program, evaluate the performance of program, and provide decision-makers with the tools needed to make sound financial and programmatic decisions.

PMO Director Position Specifications

The COG NCR Homeland Security Program is seeking a PMO Director to manage the achievement of the goals identified in the NCR Homeland Security Strategic Plan. The PMO Director will be responsible for ensuring effective, results-focused operations of MWCOC's NCR PMO. The PMO Director will directly oversee PMO staff and will manage NCR-wide stakeholder coordination and engagement. The PMO Director will also collaborate with members of the SPG and local government CAOs and their staff to implement and support homeland security initiatives within the national capital region. The PMO Director will report administratively to the

Director of COG and operationally to a Steering Committee comprised of members of the SPG/CAO-HSEC.

Work activities will include the following:

- 1) Manage the implementation and resourcing of the NCR Program Management Office, directing the design and/or procurement of PMO processes, tools, and resources.
- 2) Oversee the implementation of and updates to the NCR Homeland Security Strategic Plan, with the guidance of the NCR SPG/CAO HSEC.
- 3) Lead the selection and assessment processes for a \$50 million annual portfolio of homeland security grants under the UASI program: serve and support the SPG/CAO HSEC in UASI governance and decision-making; and provide guidance and facilitation to the SPG/CAO HSEC to set priorities and evaluation criteria for UASI project selection and funding of projects in alignment with the Strategic Plan.
- 4) Advise leadership and/or executives at the highest levels about the NCR UASI grants portfolio status and strategic direction – ensuring projects and programs align with NCR homeland security regional needs.
- 5) Coordinate with the State Administrative Agent (SAA) within the DC Homeland Security and Emergency Management Agency (HSEMA) to establish rules, governance, processes, and organizing structure for UASI in the NCR.
- 6) Work closely with the SAA to ensure UASI program success: activities include coordinating with the SAA to ensure criteria for and selection of projects aligns with the NCR Strategic Plan; providing guidance to sub-grantees related to project execution and management; and working with SAA, sub-grantees and COG on required documentation and performance reports to communicate project outcomes and achievement of goals/initiatives in the NCR Strategic Plan.
- 7) Measure effectiveness of projects/programs in furthering NCR homeland security.
- 8) Facilitate improvements (as needed) to the NCR UASI process, tools and organizing structure.
- 9) Operate in a highly complex environment with multiple stakeholders, and be expected to provide leadership to key decision makers in an impartial manner.
- 10) Actively manage relationships and engage with stakeholders from across the NCR, including VA, DC, and MD senior policy and emergency management officials; local Chief Administrative Officers; regional emergency management and law enforcement personnel; homeland security experts; the SAA and SAA personnel; regional planning staff; RESF committee and regional working group members; and COG staff and leadership.
- 11) Effectively oversee PMO staff, including a team of program managers whose responsibilities will include project management and oversight, as required, for select NCR Homeland Security projects.

Knowledge, Skills, and Abilities

Required Skills and Abilities:

- Experience working in a complex stakeholder environment

- Demonstrated leadership among senior stakeholders
- Expertise in project and program management
 - Experience managing multiple projects
- Experience in the public sector
- Expertise in strategic planning
- Effective manager of multiple staff
- Excellent communications skills
- Demonstrated ability to create and implement a vision for the PMO
- Ability to organize and prioritize multiple complex projects

Desired Skills and Abilities:

- Familiarity with UASI or public safety grants
- Experience in public safety, homeland security, or emergency preparedness
- Experience designing and implementing program offices

Other Qualifications Considered:

- Project Management Professional (PMP) Certification desirable
- Master's degree in relevant field desirable
- Ten plus years of relevant work experience

EEO EMPLOYER

To apply for this position, please submit your cover letter, salary history, and resume to:

The Metropolitan Washington Council of Governments / Human Resources

777 North Capitol Street, NE Suite 300

Washington, DC 20002-4239

Visit our website at: www.mwcog.org or Fax: 202-962-3715

APPENDIX C: PMO STAFF DESCRIPTIONS

The PMO will consist of six different roles: PMO Director, PMO Deputy Director, Program Manager, Analyst, Administrative Assistant, and Project Manager. The position descriptions are described in further detail below.

Director

Position Description:

The PMO Director will have the following responsibilities:

- Lead a team in managing and overseeing the National Capital Region (NCR) Homeland Security Strategic Plan
- Lead the selection and assessment processes for a \$50 million annual portfolio of homeland security grants under the UASI program
- Align projects and programs to NCR homeland security regional needs
- Measure effectiveness of projects/programs in furthering NCR homeland security
- Advise leadership and/or executives at the highest levels about the NCR UASI program portfolio status and strategic direction
- Coordinate with State Administrative Agency (SAA) to establish rules, governance, processes, and organizing structure for UASI in the NCR
- Facilitate improvements (as needed) to the NCR UASI process, tools and organizing structure
- Work closely with the SAA to ensure UASI program success
- Actively engage with senior stakeholders from across the NCR, including VA, DC, and MD senior policy and emergency management officials, local Chief Administrative Officers, regional emergency management, law enforcement, and homeland security experts, and the State Administrative Agent for DHS FEMA Grants
- Operate in a highly complex environment with multiple stakeholders, and be expected to provide leadership to key decision makers in an impartial manner
- Serve and support the SPG/CAO-HSEC in UASI governance and decision-making
- Effectively manage PMO staff to support NCR UASI process

Required Skills and Abilities:

- Experience working in a complex stakeholder environment
- Demonstrated leadership among senior stakeholders
- Expertise in project and program management
- Experience managing multiple projects
- Experience in the public sector
- Expertise in strategic planning
- Effective manager of multiple staff
- Excellent communications skills
- Demonstrated ability to create and implement a vision for the PMO
- Ability to organize and prioritize multiple complex projects

Desired Skills and Abilities:

- Familiarity with UASI or public safety grants
- Experience designing and implementing program management offices
- Experience in public safety, homeland security, or emergency preparedness

Other Qualifications Considered:

- Project Management Professional (PMP) Certification desirable
- Master's degree in relevant field desirable
- 10+ years of relevant work experience

Deputy Director

Responsibilities:

- Provide day-to-day direction to Program Managers, Project Managers, and Analysts of the PMO
- In conjunction with the Director, work closely with the SAA to ensure UASI program success
- In conjunction with the Director, actively engage with senior stakeholders from across the NCR, including VA, DC, and MD senior policy and emergency management officials, local Chief Administrative Officers, regional emergency management, law enforcement, and homeland security experts, and the State Administrative Agent for DHS FEMA Grants

Qualifications:

- Bachelor's Degree in related field
- Eight+ years of experience in program/project management
- Experience working in a complex stakeholder environment
- Demonstrated leadership among senior stakeholders
- Ability to foster teamwork: work cooperatively and effectively with others to set goals, resolve problems, and make decisions that enhance organizational effectiveness
- Ability to set priorities, develop a work schedule, monitor progress towards goals, and track details, data, information, and activities
- Ability to assess problems and/or situations to identify causes, gather and process relevant information, generate possible solutions, and make recommendations and/or resolve the problem(s)
- Ability to build relationships; establish and maintain positive working relationships with others, both internally and externally, to achieve the goals of the organization

Program Manager

Responsibilities:

- Achieves operational objectives by contributing information and recommendations to NCR Strategic Plan
- Work closely with RESFs and RPWGs to prepare and complete action plans connected to the NCR Homeland Security Strategic Plan
- Track NCR projects against goals and action plans under the NCR Strategic Plan; collect and analyze project data working closely with sub-grantees and SAA
- Conduct regular meetings with RESFs and RPWGs to review project progress, policies and procedures, and to gather and disseminate corporate matters.
- Work with the Deputy Director to identify and assemble the appropriate resources to meet project needs and requirements

- Lead cross-functional efforts to improve overall efficiency of the organization with high visibility to leadership team and problem and conflict solving abilities, influencing people across organization and levels
- Ensure productivity, quality, and customer-service standards; resolve problems; complete audits; identify trends; determine system improvements; implement change

Qualifications:

- Bachelor's Degree in related field
- 6-8 years of experience in program/project management
- Exceptional communication skills, including verbal, written and presentation
- Detailed knowledge of relevant government regulations and standards

Project Manager

Responsibilities:

- Responsible for the planning, coordination, implementation, execution, control, and completion of specific NCR projects
- Interface with team members, stakeholders, and management to anticipate and manage changes to projects, including, technical requirements, business requirements, and schedules
- Define of project scope, goals and deliverables
- Define project tasks and resource requirements; develop full scale project plans
- Oversee procurement required for project
- Gather and analyze project performance data for briefings to senior management
- Work closely with Program Manager, Analyst, RESFs, RPWGs, and SAA

Qualifications:

- Bachelor's Degree in related field
- 5+ years of experience in program/project management
- Certification in project management; PMP or equivalent
- Knowledge of both theoretical and practical aspects of project management
- Proven experience in people management
- Proven experience in change management
- Strong analytical, problem-solving, and conceptual skills

Analyst

Responsibilities:

- Supports the Program Managers with analysis of NCR project effectiveness
- Supports Program Managers with communications and reporting both to sub-grantees and leadership teams
- Performs coordination tasks such as meeting preparation, meeting logistics, and meeting follow-up
- Plans and coordinates project scheduling, budgeting, and administrative tasks

Qualifications:

- Bachelor's degree
- 2+ years of experience in project management

- Experience with the Microsoft Office suite of tools (MS Word, MS PowerPoint, MS Outlook, MS Project, MS Visio, etc.)
- Ability to multi-task on several projects simultaneously and prioritize timelines
- Demonstrated excellence with verbal and written communication skills

Administrative Assistant

Responsibilities:

- Provides administrative and clerical support to the PMO staff members

Qualifications:

- High School degree
- 2+ years of experience
- Experience with the Microsoft Office suite of tools (MS Word, MS PowerPoint, MS Outlook, MS Project, MS Visio, etc.)
- Ability to take on multiple tasks simultaneously and prioritize timelines
- Demonstrated verbal and written communication skills